DOCUMENT RESUME

ED 176 377 EA 012 083

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TITLE State Options for Supporting Delinquency Prevention: A Working Paper.
INSTITUTION Westinghouse National Issues Center, Arlington, Va.
SPONS AGENCY Office of Juvenile Justice and Delinquent Prevention (Dept. of Justice), Washington, D.C.
PUB DATE Apr 79
CONTRACT J-LEAA-004-8
NOTE 66p.; For a related document, see EA 012 082

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Delinquency Prevention; Grants; Organizational Change; Program Development; Program Effectiveness; Program Evaluation; *Program Planning; *State Agencies; State Programs; Technical Assistance
IDENTIFIERS Formula Grants Program; *State Planning Agencies

ABSTRACT

A supplement to the related document "Delinquency Prevention: Theories and Strategies," this paper analyzes the options for state agencies (particularly state planning agencies participating in the Law Enforcement Assistance Administration formula grant program) to promote and support program forms recommended in the companion document. It is expected that the recommended delinquency prevention program forms will require experimentation and refinement. Following an introduction, section 2 of the document presents a summary of the related publication. Section 3 considers state planning agency resources, identifies characteristics of the delinquency prevention programs recommended in section 2 that may present particular implementation problems for state planning agencies, and suggests options for deploying state planning agency resources to deal with these problems. As a way of summarizing and linking the options, section 4 presents a possible sequence of work, starting from the early conceptual and organizational stages and proceeding through to the development and evaluation of local prevention programs. Section 5 briefly summarizes the key points of the paper and stresses the need for continuous revision of programs. (Author/JM)

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STATE OPTIONS FOR SUPPORTING DELINQUENCY PREVENTION: A WORKING PAPER

PREPARED FOR:
THE OFFICE OF JUVENILE JUSTICE AND
DELINQUENCY PREVENTION

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
U.S. DEPARTMENT OF JUSTICE

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This project was supported by Contract Number J-LEAA-004-8, awarded to the Westinghouse National Issues Center, Arlington, Virginia, by the Office of Juvenile Justice and Delinquency Prevention, Law Enforcement Assistance Administration, U.S. Department of Justice. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

APRIL 1979

EA 012 083

FOREWORD

The passage of the Juvenile Justice and Delinquency Prevention Act of 1974 clearly mandates the Office of Juvenile Justice and Delinquency Prevention to assume leadership in planning and programming to prevent and reduce delinquency. Within the OJJDP mission, one of the primary opportunities to initiate promising approaches to delinquency prevention is the Formula Grants Program administered through the State Planning Agencies. Historically, however, Federal, State, and local governments have had difficulty in making choices about sound programming directions in prevention.

The lack of clarity surrounding the term "delinquency prevention" has resulted in the formulation of a range of informal definitions to indicate the scope of prevention activities eligible for support through the Formula Grants Program and other nonfinancial resources at the State level. These definitions encompass a wide range of program strategies which tend to rely on remedial services to individual youth at risk. Although the States are aware that contemporary theories of delinquency causation argue for different programming approaches, they indicate that these theories have not been translated into a framework which can be used to guide the development of Statewide prevention strategies.

As one response to the need for this framework, a companion volume to this document was prepared by the Delinquency Prevention Technical Assistance Program funded by OJJDP. Delinquency Prevention: Theories and Strategies reviews the diverse academic, professional, and popular views about delinquency causation and identifies those directions that appear to be most promising. Further, that document suggests grounds for assisting decisionmakers in making choices about the projects intended to reduce the incidence of delinquency which they will support.

This volume, State Options for Supporting Delinquency Prevention, focuses on the ways in which State Agencies -- particularly State Planning Agencies involved in the Formula Grants Program -- can use their technical assistance, training, planning, funding, evaluation, and monitoring functions to support the promising prevention approaches suggested in Delinquency Prevention: Theories and Strategies. It is intended to assist the States in identifying ways in which they can leverage sound prevention programming.

Three additional working papers: Selective Organizational Change in Education, Self-Contained Programs in Education, and Self-Contained Programs in Work and Community Service, are designed to provide guidance to local practitioners in conducting the sequence of activities necessary to implement the program forms suggested in Delinquency Prevention: Theories and Strategies.

As the States move toward compliance with the deinstitutionalization mandate of the JJDP Act, it is clear that additional emphasis will be placed on prevention at all levels of government. I view this document as an important step in providing the framework which States can use to make choices about the types of prevention programs and the ways in which they can support prevention activities in their States.

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1. INTRODUCTION

This paper is a supplement to Delinquency Prevention: Theories and Strategies, a publication of the Delinquency Prevention Technical Assistance Program, which reviews contemporary delinquency theory, research and program literature to recommend some delinquency prevention strategies, principles and options.

This supplementary working paper considers the options for State agencies, particularly State Planning Agencies participating in the LEAA formula grant program, to promote and support program forms recommended in Delinquency Prevention: Theories and Strategies. It is hoped that this supplement will assist State Planning Agency personnel to review systematically their present prevention activities, to anticipate difficulties which may be presented by the recommended delinquency prevention programs, and to prepare strategies for promoting and supporting those programs.

No models or canned approaches are presented. The recommended delinquency prevention program forms are in many respects departures from present practice and require experimentation and refinement. There is no certain knowledge or specific model of guaranteed ways to generate such programs. Rather, this paper attempts an orderly and systematic presentation of the intended prevention program initiatives, the opportunities and difficulties they may present from the perspective of a State planner, and the best apparent options for dealing with those problems and opportunities. The application of the suggestions contained in this document is likely to require considerable creativity on the part of the reader. The recommendations are tentative and dynamic, and intended to be refined based on the experience of the State practitioners who attempt to implement them. Hence, the document is regarded as a working paper.

The paper addresses itself to State Planning Agency (SPA) personnel, and in particular the juvenile justice staff or juvenile justice specialist within the SPA. It is assumed, however, that with minor variations, most of the material presented would be applicable to the staff of any State agency with mandated responsibility for planning and supporting delinquency prevention efforts. Some of the principles of interagency coordination and local program development may also be helpful to planners in public agencies at the regional or local level, particularly in Regional Planning Units of the SPA.

Throughout the paper, the particular characteristics of the recommended delinquency prevention programs tend to dictate the tactics and procedures employed in State level implementation of delinquency prevention initiatives. In significant respects, these tactics and procedures may depart from those used with other types of programs which the State Planning Agency supports. For that reason, the paper begins, in Section 2,

with a summary of Delinquency Prevention: Theories and Strategies, as the basis for the subsequent discussions. The format of the complete volume is retained so the reader may easily refer to sections in the original publication.

Section 3 of the paper considers State Planning Agency resources, identifies characteristics of the delinquency prevention programs recommended in Section 2, which may present particular implementation problems for State Planning Agencies, and suggests options for deploying State Planning Agency resources to deal with those problems. Technical assistance, training and public education activities, planning, funding, evaluation and monitoring operations, and joint work with other State agencies are considered as distinct, though related, mechanisms by which the intended delinquency prevention programs can be pursued.

As a way of summarizing and linking these options, Section 4 presents a possible sequence of work, starting from the early conceptual and organizational stages and proceeding through to the development and evaluation of local prevention programs. The only assumption made is that some State Planning Agency personnel have an interest in promoting these delinquency prevention initiatives. The projected sequence incorporates cooperative work by State agencies.

Section 5 briefly summarizes the key points of the paper and expresses the need for continuous revision as experience in the field tests our hypotheses and suggests new ideas and principles.

2. SUMMARY OF DELINQUENCY PREVENTION: THEORIES AND STRATEGIES

Contemporary theories of delinquency prevention causation, program literature, and recommended program options are extensively discussed in a monograph prepared by the Delinquency Prevention Technical Assistance Program entitled, Delinquency Prevention: Theories and Strategies. This section of the State Options for Supporting Delinquency Prevention document summarizes the entire monograph and is organized in a manner which is parallel to the full volume to allow for easy reference.

This summary is presented to provide the necessary framework within which SPA activities can be reviewed systematically to identify strategies and options to support the proposed prevention program initiatives. Many of the unique characteristics of these program forms, described in the monograph, may require innovation and experimentation in the conduct of SPA operations in any State level initiative to support delinquency prevention.

2.1 CHAPTER ONE: INTRODUCTION

2.1.1 Purpose

This paper is intended to support planners, grantmakers, program operators, consultants, trainers, and evaluators in the development, design, implementation, and evaluation of delinquency prevention programs.

Delinquency prevention has not been established as a coherent practice with reliable results. A main purpose of this paper is to suggest how delinquency prevention can be a distinct and accountable type of programming and, furthermore, to provide grounds for some of the choices that will be made in design and implementation. A second main purpose is to advance delinquency prevention practice, not merely reflect it; this requires review of the field, selection of what appear to be the more promising options, and work to refine those options. Accordingly, the paper is a proposal about what is important in delinquency prevention.

2.1.2 Delinquency Prevention Among Youth Programs

Considered as one part of an array of programs for youth, delinquency prevention activities should bear more specifically on delinquent behavior than many youth development programs appear to, yet they should operate so as to reduce initial instances of delinquent behavior rather than only reacting to it, as remedial programs so often do. As in public health programs, the emphasis is on removing or reducing factors that contribute to the problem. The central meaning of prevention is to alter environments so as to preserve youth in a relatively law-abiding status.

For the purpose of this paper, "delinquency prevention" will be taken to refer to activities *designed* (as distinct from intended or hoped) to reduce the incidence of delinquent *acts* (as distinct from arrests), and directed to youth who are not being dealt with as a result of contact with the juvenile justice system (thus excluding activities that are very clearly *reactions* to trouble).

2.1.3 The Need for Experimentation

In light of the diversity of delinquency prevention theories and the variable results of delinquency prevention practice, delinquency prevention should be taken as an inherently experimental venture, in which one systematically reviews current theory, research evidence, and experience to select a few promising options, each of which can be implemented and evaluated with sufficient rigor to increase understanding of what works. The programs envisioned are fully operational but should have mechanisms for ongoing improvement, based on evaluative feedback built into them.

2.1.4 Limits of the Paper

The task here is to derive practical options that are well-informed by theory and research and can be applied now. Towards this end, we have made choices among material to include; the end product is less than exhaustive. Although the orientation is practical, we do not claim that combining every ingredient proposed will produce a specific model program with universal feasibility and effectiveness. The discussion of management, planning, and implementation issues contained in this volume is limited to points that are peculiar to the program recommendations made. Other sources should be consulted for general coverage of administrative topics.

2.2 CHAPTER TWO: CONTEMPORARY DELINQUENCY THEORY AND RESEARCH AND THEIR IMPLICATIONS FOR PREVENTION

This chapter presents a critical review of contemporary explanations of causes of delinquency and means used to prevent it. The purpose is to narrow the field under consideration to a few relatively promising approaches and, thereby, establish boundaries for the succeeding chapters of this volume. The overall conclusion derived from contemporary theory and research findings is that organizational policies and practices affect interaction patterns and that these patterns, in turn, affect the behavior of individual youth. The prevention programs examined can be grouped into five categories: Those that should be rejected as having no defensible basis; those that should be rejected because they represent inappropriate or ineffective implementation of a defensible explanation of delinquency; those whose merit is highly questionable in light of evidence to date; those that offer short-term benefits or benefits to limited numbers at substantial cost; and those with promise of broad and lasting benefits at moderate cost.

2.2.1 Programs Having No Defensible Basis

Explanations of delinquent behavior based on presumed personality differences, presumed biological differences, and a presumed connection between learning disabilities and delinquency have been subject to intense scrutiny and are not supported. On the basis of the evidence, individual psychotherapy, group counseling, casework, and other program efforts to apply these explanations should be rejected. In addition, early identification or selection for treatment based on personality test scores, individual socioeconomic level, intact vs. broken homes, or criminal histories of parents is not recommended. All of these factors have been found to have little or no utility in predicting delinquent behavior.

2.2.2 Programs that Represent Inappropriate or Ineffective Implementation of Defensible Explanations of Delinquency

Despite having some plausible theoretical or correlational basis, a number of programs should be rejected on the basis of their repeated failure to demonstrate effectiveness in reducing delinquency after having been tried and evaluated. These include: Behavior modification confined to treatment settings; wilderness programs without followup in clients' home communities; most forms of family therapy; recreation programs; employment programs that merely consume time; detached work in street gangs; and increasing the severity of punishment for wrongdoing. In addition, there are logical gounds for believing the following to be ineffective prevention practices: Admonishing young persons to associate with better companions; lecturing youth on the merits of respecting parents, teachers, or representatives of the justice system; using individual treatment to counter the effects of negative labeling; and persuading young persons to reduce their aspirations.

2.2.3 Programs Having Highly Questionable Merit, Based on Evidence to Date

Foremost in this category is early identification of predelinquents on the basis of teacher ratings or judgments. The evidence to date makes an alternative explanation of the apparent success of these predictions at least as plausible as the assumption that teachers are uncanny judges of character. The risk of generating more delinquency appears to outweigh any benefits associated with this kind of program. A second type of program in this category is that focusing expressly on parents of infants or very young children. The assumption that "it's all over" at an early age appears grossly overdrawn, in the light of evidence to date.

2.2.4 Programs Offering Limited Benefits at Substantial Cost per Client

A number of programs show promise for short-term effectiveness for limited numbers of youth. Noncoercive programs to teach parents social learning theory and monitor their use of it have had favorable evaluations to date; they appear to be effective in reducing troublesome behavior, at least for children aged 5 through 13. Providing individual youth with vocational skills and "middle-class polish" is a way to enhance opportunities for a few, provided that recruitment is nonstigmatizing. These approaches have prospects for immediate results on a small scale, but they have two substantial drawbacks. First, working with individuals or small groups is costly, even over a short period. When requisite long-term followup is added, the cost per client is likely to become enormous. Second, programs targeted on individuals or their families must be repeated endlessly. Even in the unlikely event that everyone in a community could receive the services they need at one point in time, the process still would have to occur perpetually to keep pace with population turnover and maturation. A more cost-efficient category of program is the training of teachers, police, and others in regular contact with youth. This approach has the shortcoming that policies of the organizations that employ those trained may limit their opportunity to apply what they learn.

2.2.5 Programs Promising Broad and Lasting Benefits at Moderate Cost

The review of contemporary explanations of delinquency and prevention program experiences to date points to selective organizational change as the approach having the most promise. The evidence reviewed identifies the school as paramount in the lives of most youth, so it is nominated as a primary target of efforts to bring about change. Recommended programs in this category include those directed at modifying ability grouping and other school policies that generate inappropriate labeling and systematically rob segments of the student population of opportunities to demonstrate usefulness and competence, thereby making it difficult for some youth to value their affiliation in this arena. Also recommended are: Programs to modify organizational practices (in schools, justice, and the world of work) that reflect stereotypic presumptions of undesirable traits among youth having certain socioeconomic, racial, or ethnic backgrounds; work to improve the images of law enforcement and juvenile justice; programs to broaden the range of conventional ties available to youth, particularly in the areas of work and community service; "mainstreaming" in schools of instruction in parenting and other life experiences; programs designed to reduce youth perceptions of powerlessness; and steps to reduce the flow of derogatory news from school to home or from the juvenile justice system to school. All such programs are viewed as addressing more fundamental causes of delinquency than the bulk of efforts targeted on individuals or on group interaction.

2.3 CHAPTER THREE: DELINQUENCY PREVENTION AS SELECTIVE ORGANIZATIONAL CHANGE

The most direct and immediate implication of the well-supported delinquency theories is that there are arrangements and processes in contemporary social institutions that generate delinquent behavior. To reduce delinquent behavior, these arrangements and processes should be altered. The most fruitful arenas for delinquency prevention initiatives are education, work and community service broadly defined, and their interactions with each other and with families. Schooling is taken as central in these interactions.

2.3.1 Options for Selective Organizational Change in Schools

By the time they are of junior and senior high school age, schooling is the main organizing element in young persons' lives. This is not a matter of time spent in classrooms or hallways versus home or the street but a matter of widespread values attributed to schooling.

A relatively narrow array of specifically academic competencies dominates the student role, which is the main role available to youth. Thus is created a very narrow passage to adulthood, fraught with difficulties for many youth; many of these difficulties generate delinquent behavior.

2.3.1.1 Values

The issue for delinquency prevention is whether the values depicted and attainable in schools are of such a character that young persons can develop a commitment to -- a stake in -- schooling and conventional behavior. The expression of and emphasis placed on certain values in schools are related to delinquency.

Less emphasis should be placed on winning in competitive ventures and more should be placed on contributing to cooperative ventures. By definition, there can be few winners and, for there to be winners, there must be losers. An overemphasis on competition reduces the grounds for attachment to schooling for large numbers of youth.

In the place of a narrow emphasis on the value of a few high-status occupations, the value of a wide array of occupations necessary to society should be shown. As youth explore the occupations they aspire to or will settle for, the discovery that the occupations in which they are interested are devalued in schools diminishes the grounds for commitment to schooling.

- In the place of a narrow emphasis on a limited array of peculiarly academic competencies, include as valuable a broader array of relevant social, civic, and practical competencies.

- Enhance the number and kinds of ways that persons and groups of all racial, ethnic, and socioeconomic character are made to feel that they belong and have prospects for educational and social success. Often, artifacts of race, ethnicity and class irrelevant to learning are the daily occasion for derogating interaction that destroys attachment to schooling as surely as the more overt forms of pushing out.

Because such values are pervasive in schooling, practical and concrete opportunities to renegotiate them are numerous in school system, school building, and classroom activities, ranging from the drafting of goals statements to the description of classes to the selective availability of materials in a counselor's office.

2.3.1.2 School Structure

A realignment or renegotiation of the expression of values is realized, or not, in the structure of activities taking place in schools. Several possible lines of reorganization are relevant to delinquency prevention:

Changes in the Curriculum

Changes in the curriculum provide organized, credited educational support for a broader array of work, community involvement, and practical activities. This is not a call for added curriculum options but for the revision of present curricula. The aim is to demonstrate rather than merely claim that the traditional disciplines are relevant to living a life. By making working and the study of work, community involvement and the study of communities, and practical competencies the specific subjects, there should be immediate gains in the attraction and relevance of school studies for a larger proportion of students. The result should be increased commitment to school and reduced delinquent behavior.

Realignments of the curriculum are likely to appear forbidding on three counts. First, they tend to increase the proportion of school activities that occur outside the school building, raising questions of responsibility for the safety and conduct of the students. Recognizing these questions, the proposal is for organized programs around which acceptable norms of accountability can be built. Where growing student responsibility for managing one's own time, safety, and conduct is a primary educational objective, the prospect of increased involvement outside the school building must be an acceptable educational risk. Second, there may be a problem in finding those persons and organizations outside the school who will help organize, supervise, and instruct students in work involvements, community service, and participation in community affairs. The magnitude of this problem appears to be exaggerated because there is little

history of such school/community partnerships; practice should steadily diminish the problem. Finally, such curriculum initiatives are likely to require reorganization of existing curriculum components, materials, and methods and to require school staff to collaborate across traditional disciplinary lines. Again, the magnitude of the difficulty probably is exaggerated; what one can accomplish in a first trial is considerably less than can be accomplished over time as a new practice is built up.

The intended effect of these curriculum initiatives -- to increase the grounds for commitment to schooling -- is likely to be compromised greatly if these curriculum options are organized for students perceived as troublesome, incompetent, or unfit in some other curriculum that is the "real" business of the school. These options should take their places as standard parts of the curriculum, recruiting from all segments of the student body.

Changes in Classification and Sorting of Students

The sorting of students is a main outcome of schooling, intended or not. How the sorting occurs has a direct bearing on delinquency prevention. Sorting processes that reduce the grounds for commitment to schooling are implicated in delinquency. Several recommendations can be made.

- Examine and work to change ways in which school organization may operate on prior school experience to affect bonding, the distribution of school opportunity, and labeling.

Three arrangements of schooling can be singled out for attention. One is the organization of the curriculum as an inverted pyramid or prerequisites, in which difficulties at an early stage make all subsequent opportunities less and less accessible. The direction for change would be towards reducing prerequisites to a demonstrably essential minimum, to describe prerequisites in terms of specific competencies rather than as completion of other courses, and a systematic review of the possibilities for making curriculum elements maximally accessible to diverse audiences.

A second and highly related procedure is that of tracking, where whole sets of courses are designated as distinct curricula, sometimes leading to different diplomas. It appears the contribution to delinquent behavior will be greatest where the tracks are most visibly distinguished and most clearly assigned different status, where the opportunities of a track are all of the less valued sort, and where there is considerable and increasing difficulty shifting from one track to another or taking courses out of track. The general directions for reform are thus suggested, and include abolition of any formal track system and work to assign more equitable status -- both formally and informally -- to various portions of the curriculum.

A third problematic form of organization in this connection is the practice and policy of using marks for class performance as criteria of eligibility for participation in other opportunities that the school provides. The intended effect of such practices is to require students having problems to concentrate on their studies before they engage in other things; the unintended effect can be to reduce the grounds for commitment to schooling and thus to reduce, rather than increase, the effort put into studies.

- Examine and work to change ways in which school organization operates on race, socioeconomic status, and ethnicity of students to affect bonding with the school, the distribution of opportunity, and labeling.

The concern here is with the ways in which *presumed* relationships between race, ethnicity and/or socioeconomic status, and school performance and delinquent behavior are actually *produced* in the schools, by way of stereotypes that affect judgments made in daily interaction. It appears that a large component of such processes is a reaction of school personnel to the *style* of some youth, their manner of speaking, dressing, interacting with school personnel and friends, all of which may have little or no bearing on their objective capabilities as students. Options for reorganization include: Examining rules of student conduct and interaction with adults to determine whether the school is regulating styles of behavior that have no intrinsic bearing on educational achievement or order and that penalize one group of students disproportionately; examining discipline procedures and records to determine whether teacher expectations may result in more severe sanctions against the routine interactional styles of some groups of students; and examining the composition of tracks, classes and extracurricular activities, which may reveal assumptions about class or race that are informally applied through such routines as counseling, recruitment, eligibility criteria, and contacts with parents.

The general problem being raised in the preceding points is the tendency to connect each school opportunity with many other opportunities the school provides. For some students, this means that the entire range of possibilities is open. For others, it means that difficulties in one area will be compounded systematically, and often independent of the objective capabilities or performance of the students, so that the school is increasingly closed, diminishing the grounds for commitment to schooling and increasing the risk of delinquency behavior.

Changes in Governance and the Organization of Influence

Differences between school personnel and groups of parents in expectations about such matters as style, discussed above, will produce conflicts either at home or at school. A similar argument may be made about the values which are to be emphasized in schooling. Finally, having a modicum of influence over an activity is an important part of commitment to that activity. Two main directions for reform are indicated:

- Expand the opportunities for student, parent and teacher participation in the governance and operation of the school, by including students wherever possible in planning and decisionmaking, seeking ways to make parents visible and welcome members of the school, and involving students and parents wherever possible in instructional activities as tutors, aides, materials developers, instructors and team leaders.

- Ensure that the system of discipline is (and is perceived by students, parents, and school personnel as) legitimate, fair, consistent, and clear.

It appears that a source of alienation of students from school is the perception that discipline rules and procedures are arbitrary, not essential to school operations, and unfair, and that the differential application of vague or shifting expectations for behavior is an active source of conflict. A review of school discipline rules and procedures could begin be asking which rules are clearly and specifically necessary to legitimate school operations. Where the solid case can be made that a rule is necessary, it ought to be easier to express the rule and its justification more clearly and to determine how the rule should be applied and enforced.

2.3.1.3 Social Interaction

The structure of the schools is interpreted and made real to the members by the members through interaction.

- Avoid processes in which unfavorable assessments of acts systematically become negative assessments of persons and, therefore, cause those persons to define themselves negatively.

Cumulative processes such as grading and evaluation appear to present this difficulty. The route out of such dilemmas appears to be the increased use of evaluation procedures, tied to instructional techniques such as individual instruction or competency-based instruction, which link the instruction and the evaluation to specific, understandably described competencies.

A second cumulative process implicated in delinquent behavior is the system of files *and conversations* that are related to performance in the curriculum but that concentrate more on conduct. The cumulative effect of this practice is to generate all-emcompassing labels, which might be favorable but easily could be negative and which tend to color all subsequent interactions with the student, with substantial consequences

both for academic success and for delinquency. Directions for reform include: Limiting entries to this system to demonstrably necessary and helpful ones, periodic purging of the record, and work with school personnel to increase their sensitivity to the consequences of this system.

- Avoid processes in which single characteristics or limited sets of characteristics of students come to define them wholly.

For students identified as retarded or as having learning disabilities, typical responses to such identifications tend to isolate these students from others. The difference between these students and others, which is but one of their characteristics, comes to define them, and their position in the school, totally. The direction for reform is to minimize segregation, isolation, and labeling of such students, and to work out arrangements for providing specialized assistance in the context of conventional activities involving all students.

- Balance the proportion of positive and negative feedback towards the positive side.

A system that assigns an A grade to 90 percent success on tasks and an F to 50 percent success on tasks is greatly imbalanced toward the negative side, since it turns 50 percent success into total failure. Each system of feedback -- grades, counseling, discipline procedures, etc., -- can be examined to determine whether persons are more likely to receive feedback as a result of something bad that happens or as a result of something good that happens. Corrections can be made to regulate the balance.

2.3.1.4 Summary

The point of all of these discussions of schooling is that, for a significant portion of the student body, the values emphasized, the structure of the school, and the interaction of schooling compose a pattern of reinforcements by which these students learn that what they care about is not valued, that they (and those with whom they associate) are not expected to do much of worth, are not going to go very far and, when they get there, it won't amount to much. They learn that there is little for them in schools. All of the preceding suggestions recognize that, at present, schools are the main context in which youth can develop "a bond to conventional lines of action that are relevant to adult roles," that is, to increasingly responsible and productive roles. The intent of the recommendations is to change that pattern of reinforcements, to increase the grounds for attachment and commitment to conventional lines of action which the school can provide.

2.3.2 Options for Organizational Changes in Work and Community Service

Both work and community service can provide opportunities to be useful, to be competent, to belong, and to exert some influence. They are the main possible contexts for socialization and bonding other than the schools, and so are central to delinquency prevention. However, their effect on delinquent behavior remains problematic. Employment programs have not been shown to have a reliably beneficial effect on delinquent behavior; some even have been counterproductive. Thus, the specific social qualities of the work and service that bear on delinquency prevention must be examined.

We are interested in the quantity of opportunities to work and serve, and in the quality of those opportunities, at a time when the availability of work and its quality for adults often are described as problems. Substantial questions of economic and social policy are raised, many of them relevant to delinquency prevention. In keeping with the approach of this volume, this section concentrates on more modest initiatives on the assumptions that, within present economic conditions and policy, significant latitude remains to increase and improve work and service opportunities as tools for delinquency prevention, and that local work will inform policymaking at other levels.

Involving youth in work and community service presents a variety of practical problems of describing and organizing activity worth doing, of supervision, training, insurance, etc. None of these problems are likely to be resolved easily with universal satisfaction. Indeed, the very difficulty of involving youth in work and community service should be taken as a sign of the disorganization of the paths to adulthood and, therefore, a reason to undertake initiatives in this area.

By contrast with employment and community service programs, which concentrate primarily on special training and coaching for youth to enter available activities, delinquency prevention calls more for initiatives to *reorganize* work and service activities so that more youth can be more satisfactorily involved as a matter of course and supported routinely by some of the school initiatives already mentioned.

Those engaged in delinquency prevention have a basic choice in relation to work and community service opportunities. They can attempt to mount their own programs of employment and service specifically for purposes of delinquency prevention or they can apply their attention and resources selectively in efforts most likely to contribute to the expansion and improvement of existing systems of work and service opportunity for youth. As they do so, they can work to refine the bearing of those systems on delinquent behavior. Given the improbability of mounting any independent effort on a scale adequate for delinquency prevention, the latter

option is recommended. This means that, more often, delinquency prevention projects will be established within existing work and service programs for youth, and will be used to expand such programs and refine their influence on delinquent behavior.

Three related lines of work come to the fore in augmenting existing systems of work and service and in refining their bearing on delinquency prevention. First is work with existing organizations and associations to increase understanding of relations between work, community service, the present general condition of youth and delinquency and its prevention, and to increase active community support for the expansion of work and service opportunities as a device for the prevention of delinquency.

Also needed is the provision of support and assistance to employer organizations and community service organizations to examine their activities and to design specific, feasible reorganizations that both increase youths' opportunities for work and service and increase the probability that the work or service activity will influence delinquent behavior.

Finally, attention must be given to the routines by which youth may find their way to work and service activities. Here, the cooperation of employer organizations, employment agencies and schools in the areas of recruitment, eligibility, and referral, and their effects on the accessibility of work and service opportunities are central concerns.

2.4 CHAPTER FOUR: DELINQUENCY PREVENTION IN SELF-CONTAINED PROGRAMS FOR SELECTED POPULATIONS

Some short-term and smaller scale projects that work with selected populations of youth can apply leading delinquency theories to delinquency prevention, both to provide a preventive mode of short-circuiting existing delinquency-producing processes for youth ensnared in them and to discover how to create situations in which delinquent behavior is reduced, so that the principles and methods involved can be applied on the larger scale needed for delinquency prevention.

The general form of the program is to attempt to create, for a selected population of youth, a social situation likely in itself to limit engagement in delinquent behavior, likely to affect in a complementary manner other situations in which the participants are involved and likely to overcome past experience that may have contributed to delinquent behavior.

These programs are intended to reduce delinquent behavior by: (a) Increasing opportunities for bonding and commitment to conventional lines of action; (b) by reducing strain (or providing greater correspondence) between aspirations and the legitimate means of attaining them; (c) by increasing interaction with groups supporting law-abiding behavior; and (d) by reducing negative labeling or relabeling participants favorably.

Several principles or strategies for establishing such programs are recommended:

- Base the program in a specifically *augmented*, conventional opportunity in school, work, community service, or a combination of these. Credited instruction will be a desirable component in most cases. It will be necessary to negotiate, among the young participants, the adults who work with them, and others an activity that is perceived widely as legitimate--useful, calling for competence, interesting, providing opportunities to belong, and providing opportunities to exert influence on the course of the activity -- and, therefore, capable of legitimating its participants.

- Cultivate the widely shared expectation that the young participants have something to contribute and will perform productively with appropriate support and organization.

- Describe the program not as a delinquency prevention program but in terms of the positive, legitimate merits of the activity in which the program is based.

- Negotiate the basic activity specifically to realize the legitimacy and description of the program through the interactions that occur in the normal course of events. This will require detailed analysis of the expectations that govern the activity; of the specific skills and information required and attainable in the activity; and of the probable cumulative effects (e.g., labeling) of interaction about these expectations, skills, and information.

- Serve a mix of youth such that, as a group, the participants will be perceived as an ordinary or usual group to preserve the legitimacy of the program.

- To obtain leverage on delinquent behavior and to confirm the intended effect of the program, apply a method of selecting and recruiting the participants that identifies a service population on the basis of uniform criteria linked to common situations, conditions, and processes affecting a *class* of youth. At best, these situations, conditions, and processes will be implicated in the generation of delinquent behavior, and the corresponding criteria will be well correlated with delinquent behavior. The service population should be obtained by recruiting from the selected class of youth on the basis of the legitimate merits of the basic activity and not as a response to trouble, actual or anticipated. In this recruitment, the youth's participation (formally and informally) is voluntary. Given the complexities and difficulties involved and the centrality of the recruitment procedure to the program, the choice of selection criteria and the design of the recruitment procedure should receive extraordinary care.

- Design the program systematically to exploit opportunities to affect participants' standing in other settings by managing the flow of information (good news and bad news) generated in the program to significant parties in those other settings. Identifying the specific merits attainable in the activity, providing for their routine recognition, and choosing a credible way of transmitting the information outside the program are all important to this strategy. In addition to the forms of social legitimation and recognition that should be built into the basic activity, these programs should provide credible, portable *credentials* which may open opportunities in the future and in other settings.

- To increase the chances for belonging, to increase recognition among adults, and to provide increased opportunities for youth and adults to negotiate mutually agreeable and legitimating expectations, maximize the opportunities for youth to work with each other and with adults on common tasks.

- Provide special support services for individual participants if there is a reason to believe they are needed and will be helpful. Some such services raise problems of isolation and negative labeling, so specific efforts should be made to regulate the effects of such services on the image of the program and on the standing of the young persons served. Provision of such services to presumably troubled or troublesome youth should not be used as a substitute for efforts to ensure that the situation presented to the youth by the activity has been organized appropriately. In this connection, a form of counseling or advice-giving, both for youth and for adults connected with the program, can be used to gather information useful in rearranging the situation as needed, and to ensure that the sometimes unfamiliar situation is correctly perceived by all parties and that all parties know how best to take advantage of opportunities presented within it.

- To maximize the chances that they will contribute to wider application of useful principles and strategies and will contribute to desirable organizational change, establish these delinquency prevention projects from the beginning *within* schools, employment programs, and community services organizations (where the youth will be involved as providers, not clients). Among other things, this strategy implies the need for early efforts to form the needed partnerships with the sponsoring organizations and for specific attention to the possibility that the delinquency prevention project will become isolated within the sponsoring organization. The tactic for both cases is to attempt to secure the program characteristics needed for delinquency prevention while defining and organizing the program as an ordinary and desirable part of the sponsoring organization's program.

Clearly, the establishment of such delinquency prevention projects may require organizational change at least of moderate scope in the sponsoring organizations, and may require change in relations among sponsoring organizations.

2.5 CHAPTER FIVE: SOME IMPLEMENTATION ISSUES

Preceding chapters have called for direct efforts toward selective organizational change, and have proposed types of self-contained programs that also imply significant alterations in organizational routines. Organizational change is the central implementation problem for the programs recommended. We present here an interpretation of problems and processes of organizational change, which we believe is well suited to the initiatives which have been recommended and which is consonant with much of the present literature.

At present, the vast majority of delinquency prevention programs are based in self-contained programs of direct services -- primarily remedial -- to selected populations of youth. Organizational reform as a method of delinquency prevention is the option least used in practice. This situation reflects in part a preoccupation with delinquent behavior as a personal rather than a social product, the establishment of individual treatment as an institution, and the tendency to regard change as an evil. While organizational change of even modest scale may be a more complex undertaking than organizing typical service programs with new allocations, it appears that the magnitude of the difficulty has been overplayed as a result of the scarcity of well-conceived efforts. Tactics and methods should improve rapidly with systematic effort. Systematic efforts over reasonable periods of time appear to have been rare by virtue of persistent demands, over decades, for immediate and substantial results. The situation calls for serious, persistent, cumulative pursuit of well-developed and well-evaluated options.

Development of such options requires, first, the cultivation of an organizational perspective -- a habit of viewing and interpreting situations in terms of their organizational, as distinct from personal, characteristics. To this might be added tenacity on a strategic point: The activities in which one engages are intended *directly* to alter some feature or process of an organization and thereby *indirectly* to affect individual youth, and not the other way around.

In the recommended programs, organizational arrangements -- rather than clients -- are selected for attention. The selection has a technical aspect of establishing a connection between some organizational feature and delinquent behavior, and a political aspect, which appears to boil down to making a connection between an organizational practice and a problem or need which is of sufficient concern to produce the necessary energy for efforts at organizational change. Out of the interplay of the technical and political issues comes the choice of organizational targets.

Some prominent difficulties of organizational change should be anticipated. Among these are: Organizational inertia, usually a more powerful force than any deliberate resistance; the fact that targeted organizational practices usually serve and often must continue to serve purposes other than the ones being addressed; the fact that targeted organizational practices are interconnected with other practices that must be taken into account; and the fact that the targeted practices have technical, economic, organizational, and political aspects, all of which must be taken into account, probably simultaneously. These difficulties are not insurmountable; they need to be anticipated and planned for.

As a result of some of these difficulties, the instigators of efforts towards organizational change are likely to have limited direct control over the situation. By contrast with the relatively more controllable -- but also more limited and ephemeral -- direct service treatment programs, the prospect of affecting many youth over a long span of time makes dealing with these difficulties worthwhile, and the more promising the more refined the tactics become.

In a set of working notes on these tactics, we argue that an organization is most likely to change in a desired direction when:

- There are identifiable external and internal pressures on the organization that a change could resolve, and those pressures are favorable to change of the intended type.
- These pressures are recognized by personnel in the organization as calling for their own action, are recognized as being connected with something they are doing or could do, and this recognition leads to the recognition of some person or persons in the organization as ones who can appropriately discuss the matter with others.
- Requests and demands are put to the appropriate, recognized delegates of the organization under appropriate circumstances, usually beginning with low formality and visibility and leading to more visible and public negotiations.
- There emerges a group within the organization that supports the intended change and will support the implementation.
- "Adaptive implementation assistance" is provided over the term and in the ways needed to turn an idea into a regular practice.

It appears that many persons, both in the organization which changes and outside it, can play valuable parts in such change processes. These persons need to figure out where they stand in the system involved and what parts of the process they reasonably could affect. They need to figure out who else they need to work with, because it is certain they can't do much alone. Most of the tactical decisions which will be made -- about whom one talks to, who one's allies are, when and how one should act, and a hundred other matters -- depend on the intended change. One objective and situation may provide one set of answers that may not apply at all to another objective and situation. *Persons intending to implement the delinquency prevention programs described here need always to have a view of the intended outcome (which they are ready to adapt as needed) or of an array of equally acceptable outcomes, to which their energies are directed.* "If you don't know where you are going, any path will take you there."

3. IMPLEMENTATION PROBLEMS AND OPTIONS FROM THE STATE PLANNING AGENCY'S POINT OF VIEW

The preceding section presented some distinct approaches to delinquency prevention which may present particular difficulties for SPA staff who attempt to apply them. The Section begins to examine how a State Planning Agency can use its powers and functions most effectively to promote and support the development of delinquency prevention programs of the type discussed in Section 2. Since delinquency is inherently a local phenomenon and State agencies rarely operate delinquency prevention programs directly, the emphasis at the State level must be on facilitating local program development and creating conditions within State agencies which make that facilitation possible.

This section begins by briefly reviewing the generic powers, responsibilities, and functions of SPAs which are relevant to the planning and implementation of delinquency prevention programming. It then identifies several key characteristics of the delinquency prevention program forms described in Section 2 which imply that those functions should be carried out in ways which may differ considerably from other programs which the SPA normally supports. Finally, the Section considers each of three major clusters of SPA functions -- technical assistance, funding, and State policy development -- and suggests guiding principles and options for using these functions effectively to support State-level initiatives in delinquency prevention.

3.1 State Planning Agency Authority, Responsibilites, and Functions

The State Planning Agency is given formal authority through legislation and/or executive order to seek ways of preventing delinquency and to involve others in that activity. That formal authority is the basis for the State Planning Agency assumption of such functions as planning, funding, and technical assistance. This section briefly describes the authority base of State Planning Agencies and the generic powers and functions of State Planning Agencies which could potentially be exercised in support of a prevention initiative. The major categories of functions reviewed are: Technical assistance; training and public education; planning, funding, evaluation, and monitoring; and State planning and policy development.

3.1.1 Authority Base

Legislation and executive orders give permission to address a social problem -- delinquency. They may prescribe the structures and functions and allocate funds to the executive agency mandated to carry out the act and/or order. The effect of the formal definition of purpose by chief elected officials is to strengthen the responsible organization by conferring status and responsibility.

Among other provisions, the Juvenile Justice and Delinquency Prevention Act and the Safe Streets Act authorize States to undertake activities which will lead to the reduction of delinquency. In general, the two acts are based upon the presumption that local and State agency contributions to planning are desirable, that the solution to problems of juvenile justice, in part, is contingent upon the coordination of agency activities at the State and local level, and that the problem is of sufficient importance to have one agency responsible for guiding that joint work. The SPA is given the authority to develop policy recommendations; and the State and local advisory committee requirements provide the SPA formal entree into joint agency work. Both Federal and State appropriations bills allocate funds to carry out the mandates of those acts and frequently define the categories for which the money should be spent.

The State Planning Agency, then, has formal authority to work in the field of prevention and some resources to employ. Creation of a particular office, the State Planning Agency, provides staff with an administrative base which is recognized by others as responsible for prevention. The legislative mandate for a juvenile justice advisory group also provides a potential catalyst for interagency efforts in prevention.

In practice, of course, SPA priorities reflect legislative and executive intent. To the extent that executive and legislative interests are consonant with the approach proposed here, the sanctions offered by these two sources will increase the influence and access of the SPA. To the degree that executive and legislative interests run counter to this approach, the SPA will be constrained.

3.1.2 Technical Assistance, Training, and Public Education

Technical assistance, training, and public education are all means of having agency staff (or contractors) communicate ideas and transfer knowledge and capabilities to potential or actual implementors of programs. Workshops, conferences, training sessions, onsite and telephone consultation, written materials, and the media are all techniques which may be used in several ways to instigate local programming:

- Public education techniques may be used to increase recognition, interest, and support for particular issues, and to identify constituencies for ideas.

- Technical assistance and training may be used to prepare constituencies for program implementation, including support in program design, and application development.

- Technical assistance and training may be used to facilitate program implementation and in-

stitutionalization. This might include converting designs to practice, selection and training of staff, adjusting and refining program strategies over the life of a project, and institutionalizing effective projects so that they endure and expand over time (both locally and potentially Statewide).

3.1.3 Planning, Funding, Evaluating, and Monitoring

In its various planning, funding, evaluating, and monitoring activities, the SPA sets priorities, allocates funds within existing constraints, and establishes accountability requirements. Some of the relevant activities include:

- The preparation of State plan categories and provisions which establish agency policy for delinquency prevention and other program areas and which define the types of programs which can and cannot be supported with SPA resources.
- The determination of relative allocations of funds for delinquency prevention and other program areas.
- The preparation of guidelines, invitations to submit proposals, and/or standards, all of which limit or encourage particular program activities and enable the SPA to announce its intentions for funding.
- The establishment of eligibility criteria and the process and criteria for review and approval of concept papers and grant applications.
- The establishment of management controls and their enforcement through monitoring and assessment.
- The determination of requirements for program evaluations, the uses of evaluation results, and the funding of evaluation research.

3.1.4 State Planning and Policy Development

By virtue of its mandate and its official position and informal relationships within State government, the SPA has some ability to influence State legislation and appropriations, and the policies, regula-

tions, procedures, and practices of other State agencies dealing with youth. SPA planning may be directed to changes in these areas, in addition to the more traditional planning for the expenditure of LEAA funds. In the area of delinquency prevention, for example, planning efforts might result in increased appropriations to State agencies for prevention activities, or revisions in Department of Education policies on eligibility for Special Education Funds or guidelines on suspension and expulsion procedures in the schools.

The accomplishment of policy changes normally relies more on various forms of negotiation and persuasion (e.g., testimony, concept papers, formal and informal meetings) than formal sanctions (e.g., review and approval authority over budgets or regulations), and therefore requires cooperative and skillfully managed relationships with other State agencies and organizations. Additionally, cooperative work with other State agencies may significantly enhance the technical assistance and funding functions of the SPA, since it may result not only in greatly increased funds and resources to support local programming, but also in greater access to social agencies and institutions at the local level.

3.2 Implications of Delinquency Prevention Programs for SPA Functions

The delinquency prevention programs suggested in Section 2 may present some particular implementation problems for State Planning Agencies which are different from those presented by other programs supported by the agency, and which may require adjustments in the way SPA functions are carried out. This section reviews five key characteristics of the suggested prevention programs and describes, in general terms, the types of adjustments in normal SPA activities which may be necessary. The difficulties and extra effort involved in addressing the implementation problems carry the potential benefits for the SPA of: Greatly increased involvement of local resources in delinquency prevention, more durable programs likely to produce beneficial effects long after SPA involvement terminates, and increased systematic knowledge about what works.

3.2.1 Unfamiliar Program Perspectives and Approaches

The intended prevention program forms employ perspectives and approaches which may be unfamiliar to many practitioners. Contemporary practice tends to assume that individual deficits are the source of delinquent behavior and tends to concentrate on primarily remedial interventions with individuals. The intended programs place contributors to delinquency in the organized social environment, and are directed at specific modifications of that environment. This organizational change approach to delinquency prevention is not a standard practice; such change presents some perceived complexities and difficulties which dissuade many even from attempting it.

This is likely to mean that local practitioners will have no practiced repertoire of programs to propose to the State Planning Agency. In efforts to date, a frequent experience is that written plan components and program announcements fail to produce program proposals which are even of the intended type, considerations of quality aside.

Therefore, it is probable that, to produce serious attempts at the intended programs, State Planning Agencies will have to take the initiative to introduce, explain and support the underlying perspectives; to describe the desired programs thoroughly and in detail; to prepare individuals to implement the programs; and, to support closely the conversion of ideas to practices. Greater than usual detail will be needed in the SPA plan and program guidelines and considerably more education, TA, and training will be necessary.

3.2.2 The Lack of Control over Program Sponsors

The proposed prevention programs are intended to be based in, and financially supported as a normal part of, the operations of schools, employment agencies, employers, and community service organizations. This is implied in the principles of the intended programs (e.g., basing the program in a clearly legitimate conventional activity, engaging existing community resources in delinquency prevention, creating durable programs which can be expanded to the needed scale over time).

These assumptions imply that State Planning Agency funds are unlikely to be used to support basic program operations: Staff, facilities, routinely needed equipment and supplies. If the programs are to be normal parts of routine local operations, they should be parts of routine local budgeting. State Planning Agency funds are more likely to be used to defray the one-time and short-term *costs of change* (e.g., released time for existing staff to plan how they will undertake a delinquency prevention initiative as part of their normal business) and *costs of augmentation* (e.g., selective marginal additions to normal operations, such as adding a particular kind of job developer to an existing employment program).

The State Planning Agency, then, will have little direct authority over the operation of the intended program since the local investment is likely to be considerably larger than grant funds the State Planning Agency provides. Furthermore, mounting the intended programs will require sponsoring organizations to make adjustments in routines which they are likely to regard as "internal matters." The State Planning Agency and the local sponsoring organization will have to relate to each other as partners; in this relationship the commonality of interest, aims, and intent will be more important than the grantor-grantee relation. Persuasion, negotiation, and technical assistance will be more important; guidelines and monitoring will be less important. Additionally, coopera-

tive ventures with other State agencies will become much more important, since State departments of education, labor, or welfare are likely to have a much more direct relationship and influence than the SPA with local school districts, CETA prime sponsors, and other local counterpart organizations.

3.2.3 The Use of Organizational Change as a Method of Programming

The proposed prevention programs are to be realized largely or entirely by change in local organizations and their relationships with each other. The type of activities involved in recruiting applicants and supporting grants for organizational change programs are likely to be quite different than for typical grant-based programs. Existing literature on and experience with organizational change does not provide any pat answers or strategies (An attempt to identify problems and processes of organizational change was made in Delinquency Prevention: Theories and Strategies, Chapter 5.)

Applying and improving the organizational change strategies and tactics available will require that State Planning Agencies:

- Develop organized ways of obtaining more information, better information, and additional types of information about local communities than they may have at present.

- Act as a catalyst for change at the local level which will require more intense, frequent, and continuous involvement in communities than other types of SPA activities.

- Identify new ways to demonstrate State Planning Agency accountability for involvement in programs which might not provide evidence of direct work with youth for the first year or more.

3.2.4 Experimental Nature of Delinquency Prevention Efforts

Delinquency Prevention: Theories and Strategies, summarized in Section 2, concludes that the state-of-theory and practice indicates that delinquency prevention should be considered as an inherently experimental venture, where implementation ought to carefully consider theory and past experience and include an evaluation of sufficient rigor to increase understanding of what works. This conclusion has at least two implications for SPA staff.

First, practitioners are likely to need considerably more TA than usual if they are to take existing theory and research findings into

account in programming and to engage in an area which is not well charted and requires frequent adjustments in approach.

Secondly, greater attention to evaluation is particularly important. Although program design and evaluation of prevention programs are not categorically more difficult than others, some of the evaluation methods may be less familiar to practitioners. Furthermore, planned experimentation to advance practice is highly desired, and requires an evaluation designed from the very beginning to test the approach used and provide regular feedback on program effects.

3.2.5 The Importance of Local Environment to Program Success

The implementation and outcome of the desired prevention programs will depend much more on local conditions and processes than on State funding guidelines, grants, or monitoring. When the SPA provides a grant to support a significant portion of the basic operations of the grantee, both the grantee and the SPA can exercise considerable control over the project, (e.g., existing staff don't have to be reassigned, they can be hired new). By contrast, local grantees and the State Planning Agency can exert influence, but they cannot guarantee control over the processes of organizational change. Several requirements flow from these findings.

First, particularly for initial efforts, it will be essential to *select* program sites (communities, sponsor organizations and related organizations) where the preexisting conditions and past developments are favorable to the intended programs and to organizational change. Over terms of three years, State Planning Agencies can cultivate existing local forces and movements, but cannot expect to turn them around. This means selection of promising sites well in advance of any consideration of a grant.

Second, *preparing* even favorable sites will require as much energy and attention as the specific design and implementation of the program. Even organizations generally open to innovation seldom execute changes quickly. Much groundwork needs to be laid before specific persons can start doing things differently than they did the day before.

Finally, the work has only begun when one negotiates an agreement with a sponsoring organization and other local organizations to attempt a specific initiative. The *conversion* of ideas to practices in the face of preexisting condictions and universal inertia is difficult and requires systematic support.

In summary, SPAs will need to focus less on grantmaking and more on the selection of favorable sites, thorough preparation of those sites, and systematic support for the conversion of ideas to practice.

3.3 Options for Technical Assistance, Training, and Public Education

All the implementation problems described above suggest that the technical assistance, training, and public education activities of the State Planning Agency will be the primary mechanisms for implementation of the suggested prevention programs, not merely an adjunct to planning, funding, and monitoring. This Section contains suggested principles and options for conducting those activities in support of a State level delinquency prevention initiative.

3.3.1 Objectives of TA Activities

Technical assistance, training, and public education must be used for a wider variety of purposes going well beyond application preparation and compliance issues.

- Public education and training activities may be needed to introduce relevant perspectives and delinquency prevention approaches in order to create a constituency and to recruit and train possible proponents for the intended programs.

- Technical assistance probably will be the main way in which favorable sites (communities, applicant organizations, and related organizations) can be located, selected, and prepared to undertake a program. Favorable sites are those in which community and organizational characteristics fit with the intent to change organizations to prevent delinquent behavior.

- Technical assistance and training can be used as a catalyst for coalescing local agencies, concentrating on the applicant organization and the few other organizations needed to implement the program, to cultivate their relationships and to lay the groundwork for preparing a mutually agreeable plan or proposal.

- Consultation will be important for providing support for practitioners (in converting ideas on paper to concrete practices, training and troubleshooting).

- Training and technical assistance probably will serve as cost-effective means, less expensive than long-term continuation of grants, to support the refinement, expansion, and institutionalization of the programs generated.

3.3.2 Characteristics of the State/Local TA Relationship

Because of the unfamiliarity of the ideas and the absence of experience of most persons in delinquency prevention, the SPA much *stimulate and nuture* sound prevention activities. Increased understanding among the community at large may be generated by the conduct of a series of seminars or television and radio programs which explore delinquency and its causes. The knowledge and skills of practitioners may be expanded by the conduct of workshops about actions that might be taken as preparation for change or about solutions to problems encountered in the course of trying new practices. Technical assistance might seek out persons who have demonstrated interest in the past and encourage them to adopt and apply this approach toward prevention. The SPA *deliberately* draws others in.

Because durable organizational reform is best supported by the generation of incremental changes and because the process of achieving those changes is difficult, change is a *long-term venture* for the SPA and the SPA's partners. Past experience indicates that for persons to adopt different beliefs, to be able to apply those perspectives in the organizational and inter-organizational settings, and to do their work in new ways takes a period of several years. The long-term nature of the work means that the SPA may commit technical assistance to support good State and local activities for a period of several years.

The technical assistance and training provided will be founded primarily on a partnership of shared interests and intents and secondarily on the grantor/grantee relationship. The applicant organizations are putting up a large part of the resources involved and must entertain changes in procedures properly regarded as internal. Further, many of the recipients of technical assistance and training, though essential to the local program, will not be grantees. Given the need to try, adjust, and correct in light of experience, the issues of compliance with guidelines and proposal specifications will be a small component of the overall efforts.

This means that the influence of the technical assistance and training is not primarily derived from the legal authority of the grantor or the financial contribution to the effort of the State Planning Agency. The influence relies almost exclusively on the credibility, preparation, organization, and style of the TA providers.

The type of proactive technical assistance, training, and public education described is likely to cost considerably more, involve much more time and effort, and engage a broader array of persons with skills and information, than is often the case with current SPA TA efforts. To justify this level of effort and cost requires a perspective which views these activities not as administrative overhead or adjuncts to the "real" work of grants, but as central mechanisms of programming.

3.3.3 Cooperative TA Efforts by State Agencies

In optimal situations, technical assistance and training will be conducted in consortium with other relevant State agencies. Some of the organizations to be included in local efforts probably are already clients, subdivisions, or grantees of other State agencies (e.g., local school systems and State Employment Services). Technical assistance teams may include members or contractors of these other State agencies who are more likely to be seen as appropriate providers of technical assistance and training to the local counterparts and may be able to make use of preexisting relationships. Including other agencies in local technical assistance efforts increases the skills and information available. Influence stemming from authority may be increased by undertaking joint ventures with other State agencies.

3.4 Options for Planning, Funding, Evaluation, and Monitoring

While technical assistance, training, and public education in many respects lead program implementation, adjustments also may be needed in planning, funding, evaluation, and monitoring activities to permit, confirm, limit, and support implementation. This Section examines options for structuring these processes in a State delinquency prevention initiative.

3.4.1 Planning

There may be a need for undertaking planned activities during the annual planning cycle and for making adjustments in the provisions of the plan. These activities and adjustments may include:

- Seeking support for the intended approach among State Planning Agency staff, administrators, and advisory committees may be required. Even where these persons support a general approach of this kind, they may need to be prepared specifically for some of the implementation problems and tactics discussed here, so that they will not be surprised in some of the possible binds (e.g., the difficulties encountered in demonstrating accountability for the funds invested in a particular effort).

- Authorization, support, and financing (for expanded technical assistance, for example) may need to be built into the provisions of the plan to justify the time and effort to be expended and to shelter funds for intended activities.

- Revisions or augmentation of the delinquency prevention plan elements may be desirable to announce the intended approach formally and to limit the array of prevention initiatives which will be considered so as to focus energies in the relatively more intense initiatives. Among the relevant points to establish in such plan provisions may be:

  - The desirability of selective organizational change as a method of delinquency prevention, as opposed to other traditional approaches (e.g., counseling, recreation).

  - The use of grant funds to defray the costs of change (discussed more below).

  - The aim to fund schools, existing employment programs, and organizations capable of involving youth in community services.

  - The intent to support programs which can be conducted as rigorous tests of program options.

3.4.2 Funding

Both the uses to which State Planning Agency funds are applied and the procedures through which they are granted may require modifications.

3.4.2.1 Funding Guidelines

State Planning Agency funds are often used to support the costs of basic program operation. Funds to support the proposed prevention programs will be used to defray the costs of development, change, and evaluation. Funding guidelines, program announcements, or Request for Proposals may need to be developed which contain this emphasis. This implies that local partners can be identified who, by virtue of their own interests in reducing delinquency and related problems, are able to put up staff, facilities, equipment, and other basic program support services in the normal amounts as part of their normal operations. The State Planning Agency can indicate willingness to pay the costs of the activities required to revise, refine, and augment those operations to reduce delinquent behavior. Many of these costs will be, and should be defined as, one-time costs and might include the following;

- The provision of released time or temporary replacements for staff to participate in planning, program design, organization of necessary relationships with other organizations.

- The development and pretesting of materials and methods.

- The provision of preservice training and rehearsals and inservice training.

- The development of evaluation procedures and instruments.

3.4.2.2 Application Review Criteria

While the technical assistance, training, and public education initiatives previously discussed should be relied upon to produce adequate proposals from prepared proponents, formal criteria for judging applications may need to be revised or refined for the intended programs. For example, an important area which should be evaluated is whether the site (community, applicant organization, and related organizations) is favorable to and prepared for the program, and whether various problems and processes of organizational change have been considered and provided for. Chapter 5 of Delinquency Prevention: Theories and Strategies discusses some of these problems and processes and could provide the basis for the formulation of criteria. Key factors to look for in site evaluations include:

- A discussion of some point in the system is exhibiting strain from the failure of previous attempts to solve problems. A crisis (e.g., riots, extensive school damage) should not be the *sole* reason, however, for local desire to participate. While crises may be catalytic, they are infrequently an indicator of a move toward durable interest, commitment, or activity. Once the urgency disappears, so do efforts to address the problem. In the heat of crises, there may be numerous competing views which support simplistic solutions and rash responses. These debates may obscure the fact that literally nothing has been done or will be done to eliminate the problem at hand.

- There exists the perception of a problem to which organizational change is seen as the solution.

- Some momentum for change is present. For example, an informal group of persons has been

working on potential responses to school dropouts. The system, however, should be sufficiently disorganized to have those involved see additional input as positive and useful, not as threatening or irrelevant.

- There are external forces for change and those forces are recognized by and responded to by those in positions to make decisions about and direct change over a period of time. Those sponsoring change are receptive to an experiment.

- The forces operating for change in a community are well defined, rather than vague complaints or aspirations.

- The forces operating for change in the community are leaning in a direction which could distinctly be called delinquency prevention. The beliefs of those within the community do not depart too sharply from those in the prevention initiative. Reformation of one who holds limited views of youth capabilities or one who believes that delinquency is inherited or that the appropriate response to delinquent behavior is confinement is more often than not a futile task.

- The setting is favorable to joint agency work. There is the perceived need for joint agency action among those in the service community or there is extraorganizational pressure for joint action, either from the elected governing body, from young people and their parents who are clients of organizations, or from the community at large. The history of joint agency activity is positive. That is simply to say that in the recent past there has not been a visible, much discussed coordination activity that has failed. There have been no intense battles between organizations which are key to prevention activities.

- Local government sees youth services as important and allocates resources accordingly.

- Local resources of staff, time, and money (or sources of them) are available.

Delinquency prevention programs as they have been described in Section 2 require the submission of proposals which emphasize, to an extent greater than usual, change processes and assessment methods. The State Planning Agency might look for proposals which:

- Present political strategies for meeting objectives. The applicants would recognize the necessity of persuading those for whom the proposed beliefs about and practices of delinquency prevention may be unfamiliar and threatening. The strategies, discussion, and training would be proposed for obtaining the endorsement of those whose participation is critical to a sound prevention effort. The schedule should also reflect the time necessary for the conduct of negotiations with key persons in the community. The work plan should describe the persons to be involved and their possible contribution to the set of activities. The work within the organization would include the "training" of staff.

- Propose changes in current policy and practice in ways that should eliminate problems that young people are having within that organization.

- Seek the institutionalization of the new practice. Potential local sponsors should describe the means of transferring the new practice to the remainder of the organization.

- Have realistic yet significant objectives and describe the documentation and evaluation activities which will assist them in assessing the extent to which those outcomes are achieved. The hypotheses regarding the ultimate impact on young people and the research questions which form the foundation of the evaluation should be specified.

- Employ technologies of practice and research which are appropriate to the intended objectives and the setting. Innovations should not depart from existing practice so radically that outright rejection will be the response of teachers and employers. Research designs should address themselves to fundamental questions, but should not be so complex, costly, and time consuming that they would be impossible to implement or produce findings that are not useful for project staff.

3.4.2.3 Selection Process

Taking the initiative to select and prepare proponents and to help them prepare program designs and proposals may leave the State Planning Agency open to complaints of favoritism and failure to provide open competition for funds and assistance. One possibility is to place the competitive selection very early in project development. One might, for example, prepare an informative program announcement for a school-based program, hold a bidders' conference to make clear what is intended, and select proponents on the basis of short concept papers. The announcement and the bidders' conference would both be deliberately conducted to cause those not ready to entertain the possibility of organizational change to eliminate themselves from further consideration.

3.4.2.4 Scale and Duration of Grants

It is desirable to arrange relatively small grants which run for a period of at least three years, allowing the first year can be devoted to organization and preparation without directly dealing with any youth except where they are involved in the organization and preparation for the program. That is, the changes made in the normal operations of the applicant organization are the essential element of the program for the first year. The State Planning Agency is supporting the change, with the expectation that the new pattern will continue as a normal part of the operations of the grantees over a term considerably longer than the grant provided by the State Planning Agency. The preparation and development to support these changes requires considerably more work, effort, and trouble than can reasonable be expected as unfunded "preparation" for a grant.

It is recognized that the State Planning Agency may have difficulty justifying the expenditure of funds for the preparation for change. However, a plan can be presented in which the first year of the grant will support the organizational, development, and preparatory work; in the second year, a definable population of youth will be affected by the new pattern of activities and the effects are evaluated; and in the third year, the program and the evaluation will be continued (or expanded) and steps will be taken to begin to institutionalize the changes. The product at the end of three years will be the changes made, directly affecting a definable population of youth over a period of two years, with evaluation on one of these years completed and evaluation on the second year well underway.

3.4.2.5 Interagency Funding

Joint funding with other State agencies is desirable in supporting the proposed efforts. This allows for the provision of support for complementary activities within a local organization or complementary activities by two or more local organizations. For example, State departments

of education may have inservice training and curriculum and materials development resources which would complement State Planning Agency funds and assistance in mounting school-based programs. State employment and training agencies, likewise, may be able to provide complementary job development resources in an employment-based program.

3.4.3 Evaluation

SPA procedures for organizing, conducting, and supporting evaluations may need to be modified to better support the experimental procedure desired for prevention efforts. The following points require particular attention:

- Early Involvement -- Individuals prepared to assist in the design of the program and the evaluation need to be involved very early in a project, from the first discussions, if possible, and certainly well before any program design or proposal is written, so the evaluation can be designed as an integral part of the program. The evaluation should start during the initial stages to provide information about the preexisting setting of the program and the processes by which the program was developed and implemented, since these are important issues for any subsequent initiatives. Particular arrangements may be needed to provide early technical assistance around evaluation and to engage evaluators in advance of grant awards.

- Significant Funding -- Greater than usual funding for evaluation activities probably is desirable given their early initiation and the intent to use rigorous (and often more expensive) procedures. These expenditures might be justified on the same basis as the expanded technical assistance and training activities in that, in these program initiatives, evaluation is not an adjunct or overhead item to other activities which comprise the "real" program. Solid evaluative information used as a guide to program development is a central element of the proposed programs, and should be treated as such.

- Evaluator/Project Relationship -- Involving evaluators very early in program development will help to resolve the problems which continually plague the relationships between evaluators, program designers, and program operators. However, special attention

to evaluation activities will probably be required throughout the initiative. An essential issue to establish and to continually reinforce is that the prevention initiative is intended to discover new patterns of working with youth and how they work. It will be better if evaluators are established as members of the team which implements the program. "Objectivity" in an evaluation comes not from having "outside" evaluators, but from using objective procedures and working in the open (carefully describing the procedures used). If adequate procedures can be specified (they exist), then the evaluators can be members of the staff of the program. This will increase the opportunities to provide useful feedback from evaluators to program operators and vice versa.

- Regular Feedback -- Specific arrangements should be required for the systematic provision and use of interim evaluation findings to improve the program. Too often, the use of the evaluation is left to chance. That is, it is assumed that reasonable persons will read the evaluation and adjust practice accordingly. It often does not happen that way. In the same way that it is reasonable to fund release time for planning, development, and training, it is reasonable to fund released time and training to review evaluations, replan, and redevelop the program.

3.4.4 Monitoring

Issues relating to the compliance of funded programs with appropriate guidelines will be an element of this initiative. It is not possible to prepare a set of guidelines sufficiently valid and specific to make monitoring a matter of straightforward enforcement. Some crucial elements of the program are subject to the community and organizational setting in which they are implemented. The proposed programs are unlikely to be realized by grantees who have to be made to comply with guidelines developed without information on a particular community setting. If adequate preparation has been undertaken by the State Planning Agency, monitoring will not save a project, but is more likely to be used to gather the information needed to justify terminating the relationship.

Technical assistance will probably be a more useful strategy in influencing the outcome. Monitoring is sometimes a problem for individuals who must both represent the grantor -- by upholding the terms of the contract and enforcing such compliance -- and who must provide technical assistance. The roles of monitor and technical assistance provider can be contradictory. With the monitor, grantees may be quite formal by

providing only the information required and not identifying all the problems encountered in the implementation of the program. With the technical assistance provider, grantees want to reveal problems in order to obtain guidance in their resolution.

In order to address this contradiction, an individual may separate monitoring by time (monitor one time, come back another time for TA) or by person (for a given project, one State Planning Agency staff member does monitoring, and another does technical assistance). The latter option is preferable, although both options add to the expenses incurred by the individual serving as both the monitor of and technical assistance provider to the grantees.

3.5 Strategies for Cooperative Work by State Agencies

Access to local counterparts of other State agencies and the potential of joint funding and joint technical assistance initiatives suggest that partnerships with other State agencies are desired. To the degree that such partnerships form around local initiatives or in other ways, they will also be useful for activities at the State level which bear on delinquency prevention. These include legislative initiatives to support or authorize desired delinquency prevention programmimg, efforts to modify agency regulations and guidelines to support or permit desired programming, and efforts to influence funds and funding procedures. Problems encountered in local programming are likely to suggest the objectives of change efforts with State agencies or State legislatures.

However, interagency work at the State level, like organizational change and coordination at the local level, has a history of difficulty and frustration.

3.5.1 Recognizing that Joint Ventures Require Organizational Change

Efforts directed to joint work among State agencies are complex exercises in organizational change and should be treated as such. There is a tendency, when interagency cooperation is sought, to compose committees or call numerous meetings. Unfortunately, such formal responses frequently result in a lack of agreement about what should be done and an inability of agencies to move in concert. To break this recurrent pattern, we need to get better at analyzing and dealing with the *organizational*, as distinct from *personal*, aspects of interagency work. Chapter 5 of Delinquency Prevention: Theories and Strategies attempts to identify some of these organizational aspects and discusses tactics for dealing with them.

3.5.2 Gaining Access to Other State Agencies

One of the central tasks in initiating interagency work is to establish the basis for shared attention, investment, and approach. To develop

the cooperation of an organization, as opposed to simply individuals within an organization, it is necessary to find situations which: (1) Presents problems in an organization on a day-to-day basis; (2) are the subject of external demands which the organization will have to deal with or lose prestige, money, or staff; and (3) are seen to fall within the purview or responsibility of the organization in question.

Grounds for cooperation among State Planning Agencies, departments of education, State employment and training agencies, and other State agencies may be found in the complex of related youth problems including school violence and vandalism, juvenile delinquency, truancy and school dropouts, career and vocational education and the transition from school to work, and drug and alcohol abuse. Department of education personnel might be disinterested in "delinquency prevention," taking the stance that "delinquents" ought to be dealt with by other agencies, but have substantial grounds for wanting to reduce truancy, school dropouts, violence and vandalism in the schools. State employment and training agency personnel may be disinterested in "delinquency prevention," saying it is outside their purview, but indicate that they are under pressure to mount programs which improve "the transition from school to work."

An increasing literature supports the long-standing assumption that these problems are related and require similar responses, and those tend to be organizational change responses of the types recommended here. Payoffs for educational organizations and employment organizations in the approach can be demonstrated. Cultivating these common grounds means describing initiatives in language which will permit the relevant parties to see the gains to be made on the problems most relevant in their organizations. If the language is not specific, one likely result is that vague terms -- such as "prevention" -- which can mean anything people want them to mean, will obscure issues and obstruct real agreement and action.

For the delinquency prevention programs desired here, it will be necessary to make agreements that organizational change is a large part of the implementation method. A premium is placed on finding, working with, and strengthening the hand of persons willing to entertain such an approach.

3.5.3 Building Agency Support for Interagency Efforts

Much interagency work is undertaken without adequate support. Even where cooperation with other State agencies is formally established as part of one's job, it is also often the case that the internal business of the various organizations takes precedence, no particular resources other than some unspecified amount of time are committed, and the interagency initiative is not recognized or confirmed anywhere in any of the plans, guidelines, or budgets of an organization. In two hours, an interagency committee of eight persons can generate more staff work than they

can actually do in a month. A growing interagency involvement must be balanced by developments internal to the participating agencies, or the interagency effort will outreach its base of support and die, either without consequence or as a visible sign of failure which discourages future attempts. If one cannot escalate the visibility and support for the interagency effort within the participating agencies, one has to question whether the grounds are actually present for aggressive interagency work, and either work to renew and strengthen those grounds, or scale down the joint venture. Strategies for working with State agencies are discussed further in Section 4.

3.6 Summary

Options for technical assistance, training, and public education activities; planning, funding, evaluation, and monitoring operations; and joint work by State agencies have been considered separately in this Section. The various options are, of course, related, and need to be applied together. The following Section traces some linkages and suggests a possible sequence of activities using all of these functions.

4. AN IMPLEMENTATION SEQUENCE

The previous section established the forms that the functions of technical assistance, training, public education, funding, monitoring, planning and evaluation might take to support delinquency prevention initiatives. This Section suggests a sequence for performing those functions in stimulating prevention initiatives. It also raises some strategic and tactical questions that the SPA might consider in each stage of local or State development.

The sequence begins with the creation of support for prevention at the State level and proceeds through various implementation stages at the local level. While those activities are presented in a linear fashion, it is most likely that the work will not proceed directly from one step to the next in that order. Circumstances change over time. Both State and local organizations must be drawn in, often simultaneously, and work must be negotiated at each *level* at each *stage*. This sequence would be taken as a plan from which to depart based upon the political and technical nature of the work. Figure 4-1 portrays a possible sequence of work.

The SPA may choose to intervene at any point in this sequence. However, the rewards of building systematically at the State level for joint intervention at the local level appear to be greater than intervening first at the local level. These advantages are:

- Increasing the possibility of substantive change within the organizations directly responsible for education and youth work and community service.
- Expanding the resources which can be brought to bear on any given problem and its solution.
- Increasing the number of proponents of experimental delinquency prevention programs and thereby making those activities durable beyond the life of any person in any given position.
- Allowing the SPA to intervene in local agency settings where the SPA has traditionally not had a direct relationship and where the SPA does not have legal or administrative authority.

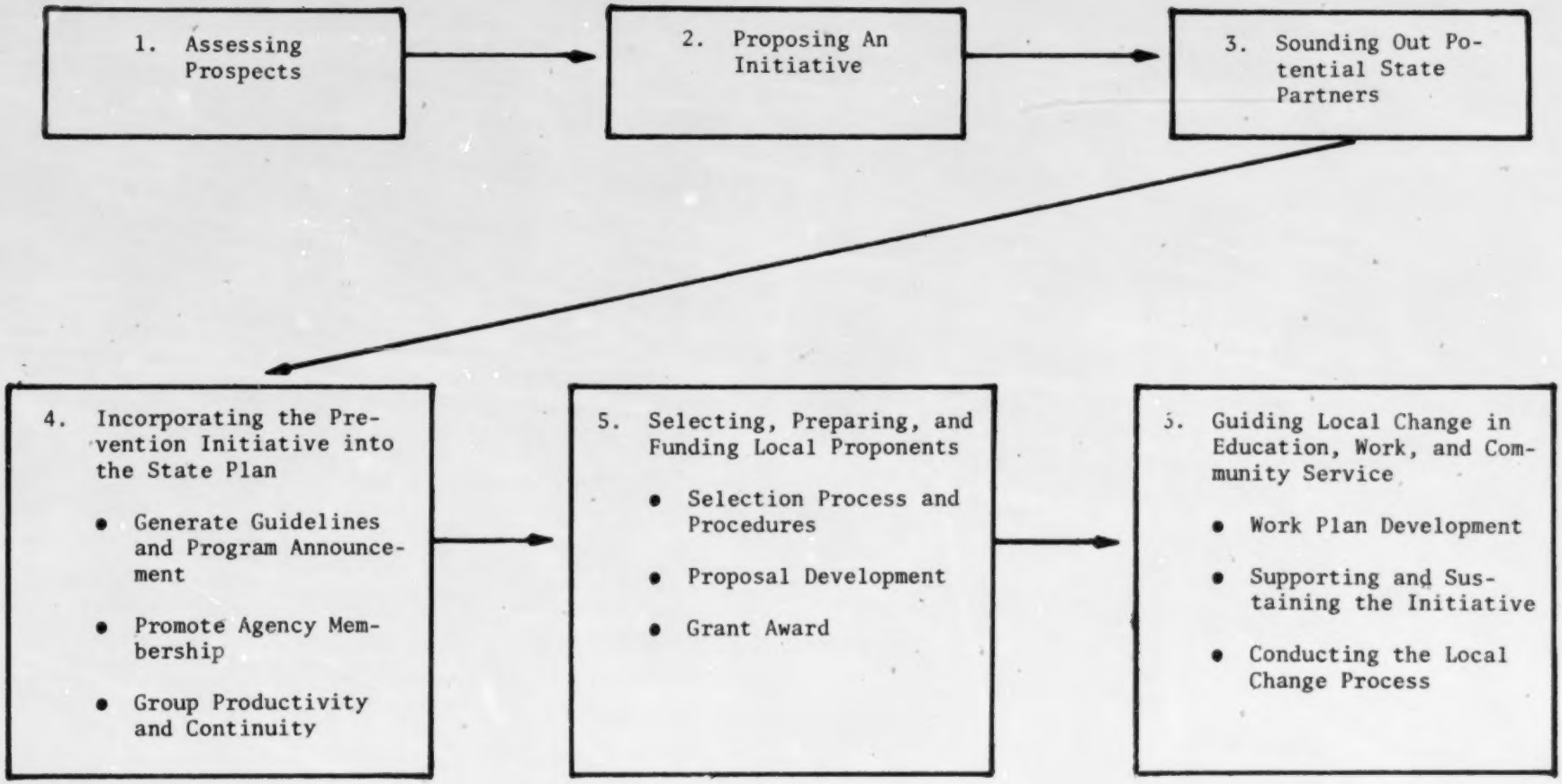
1. Assessing Prospects
2. Proposing An Initiative
3. Sounding Out Potential State Partners
4. Incorporating the Prevention Initiative into the State Plan
• Generate Guidelines and Program Announcement
• Promote Agency Membership
• Group Productivity and Continuity
5. Selecting, Preparing, and Funding Local Proponents
• Selection Process and Procedures
• Proposal Development
• Grant Award
6. Guiding Local Change in Education, Work, and Community Service
• Work Plan Development
• Supporting and Sustaining the Initiative
• Conducting the Local Change Process

Figure 4-1. A Sequence of Work

However, decisions about where to expend most of the energy should be based upon the characteristics of the settings. Which, State or local, appears to be the most promising? For example, if the SPA is supportive, but other State agencies reluctant, and a local site appears promising, the specialist may seek to demonstrate the utility of the SPA strategy at the local level as a way of persuading other State agencies to participate. If, on the other hand, no local site appears likely, the specialist may begin carefully developing an aggressive group at the State level who would agree jointly to stimulate local experiments.

4.1 Assessing Prospects

Before approaching others, the juvenile justice specialist might undertake a mental assessment of the prospects of being able to carry out a prevention initiative of the sort described in Section 2 of this paper. Is there or can there be support from other SPA staff and administrators and juvenile justice advisory group members? Are there individuals in other relevant State agencies who are or would be interested in the approach described and who could put some time into it? Are there some communities where individuals in relevant organizations share some of these orientations and might undertake some of these possibilities? A group of three or four persons from relevant State agencies who are interested and appear willing to work with local communities may be sufficient for a beginning.

4.2 Proposing an Initiative

If the juvenile justice specialist believes that there is a group of individuals willing to engage in a joint effort, the next step may be to present a proposal to SPA administrators, staff, and, possibly, the juvenile justice advisory group. That proposal should lead to a general agreement to pursue delinquency prevention. A brief paper which describes the intended activities, project(s), and outcomes and the resources required may be sufficient to allow staff and advisors to agree to an experiment. If the SPA and advisory group endorse change as a strategy for delinquency prevention and if the director is willing to allocate staff time to such an initiative, the juvenile justice specialist may decide to proceed. More likely, considerable time, effort and careful planning may be necessary to gain a sufficient base of support and consensus on the proposed approach in order to proceed.

4.3 Sounding Out Potential State Partners

Another preliminary step may be to talk to interested persons in relevant State and local agencies to discover if they have interests that are sufficiently similar to those of the SPA to warrant an alliance and to initiate a partnership. SPA staff might informally converse with members of the juvenile justice advisory group and agency staff members who have been articulate advocates of prevention, who perhaps have participated with the SPA in the past and who have influence within their organizations. At this stage, SPA staff should look for those persons who can expend energy in the pursuit of common goals and who are in a place where they can influence the top administrators in their agencies. (Directors of organizations have the authority to commit staff and money, but seldom the time to contribute to the planning and design of specific programs.)

To be able to guide those conversations and respond to questions, one might prepare a concept paper a set of general statements about the theoretical rationale for taking the direction described in Section 2, youth needs to which that theory applies, and options for joint agency activities in education, youth employment and/or community service, and the anticipated outcomes. One might further list the potential contributions of each person with whom he or she is going to talk and the role each might assume in an interagency group. Writing the paper will increase the ability of the SPA to explain the proposed initiative with specificity. This stage may culminate in a general agreement among several key agencies to explore prevention opportunities.

4.4 Incorporating the Prevention Initiative into the State Plan

Having secured general agreement from the SPA staff and juvenile justice advisory group members, the juvenile justice specialist will need to take actions that would lead to the incorporation of an experimental prevention component in the State plan for juvenile delinquency. That formal statement of SPA intentions will make prevention a recognized part of the work of the juvenile justice specialist and will make funds available. An informal team made up of the juvenile justice planning staff, and staff of the evaluation division might be formed to draft the plan with the guidance of a subcommittee of the juvenile justice advisory group responsible for prevention. Working closely with a subcommittee of the advisory group will help to insure acceptance by the full committee of the approach adopted.

Much of the content of the plan will be standard. A discussion of any program includes a statement of objectives, the rational behind a given approach, the need for the program, suggestions about program design, and, often, the population to be served. These delinquency prevention initiatives are different in that the activities are experimental, making it more difficult to prescribe with precision the actions to be taken and client benefits. Included in the prevention plan should be a set of hypotheses to be tested and suggestions about strategies to be pursued. The intended outcomes specified in the plan should probably not be numbers of young people to be served, but changes in the practices of organizations and the structures of some organizations. Young people will be involved in some activity, but the benefits will not appear immediately. The proposed plan will be rigid in requiring that participants develop activities which test those hypotheses, but flexible in allowing the grantees to select strategies and outcomes applicable to their communities. The plan then would contain a definition of "prevention", the hypotheses which the State Planning Agency is interested in testing, an analysis of the problems inherent in an experimental approach, and the resources required for implementation.

The creation of the plan may take several months, as the various members of the group must reconcile their differences. The juvenile justice specialist may facilitate that negotiation and maintain the momentum of the group by providing written options papers to guide conversations about theories, youth needs, appropriate programmatic responses to youth problems, and organizational change. The juvenile justice specialist might set a schedule which reflects the various demands upon the members of the group, but allows the group to produce -- at regular intervals -- various sections of the plan. If members are prepared through conversation and written materials to participate in each of the working sessions, agreements can be reached at each meeting about program design, evaluation, and the resources necessary to implement the plan.

It is recognized that the timing of the prevention initiative may not coincide with the State planning cycle. The creation of a constituency for delinquency prevention within the State Planning Agency constitutes the foundation of a durable prevention initiative. Building that constituency of advisory group members and SPA staff takes time. The SPA might wish to develop a schedule of work which will coincide with the planning cycle: The product of the first year plan would be the development of guidelines for a joint State-local initiative and of the second year, the stimulation of local applicants, the provision of funds, and the initiation of start-up work on site. By the end of the second year, the local site would be prepared to involve young people in new employment and education opportunities.

4.4.1 Generating State Agency Agreements and Guidelines for Local Prevention Initiatives

Having obtained general support from other members of the State agency community, SPA staff might wish to generate a group of persons at the State level who would work out the details of a joint prevention initiative (concurrent with the development of a State plan for prevention). That group, with staff assistance from the SPA, could produce a set of guidelines for both State and local activities. A specific product might be a set of program specifications and funding guidelines which could be used to recruit local partners. They might also propose a plan for revision of legislation or guidelines in preparation for undertaking local activities at some point in the future. Given the diversity of organizational requirements and the necessity for reaching agreements about each aspect of prevention programming, the work will most likely occur over a period of months. This may require a series of conversations between SPA and other State agency personnel and a number of interagency meetings to work out and confirm the agreements.

4.4.1.1 Program Announcement

The program announcement is a written statement of the intentions of the joint agency group. That announcement serves as the description by which local persons can assess their capability and desire to participate, is the advertisement for the prevention initiative, and is the basis for State-local negotiations. Having criteria permits the State group to assess more realistically local prospects for sound delinquency prevention and choose the more promising sites for extensive assistance.

A number of features of the announcement may be routine: Program objectives, schedules, budgets, and legal requirements for reporting activities and spending money. The prevention announcement, however, should contain a clear definition of prevention, and the prevention objectives of the State Planning Agency; possible options in education, work and community service and strategies for achieving them; and the criteria and process for reviewing and selecting promising sites (see Section 3.4).

4.4.2 Membership

While the core of the interagency group should be those persons approached in the third step of this sequence, SPA staff may want to involve others for reasons of influence, power, knowledge, and skill. Those decisions should be governed by the political and technical aspects of the specific tasks to be addressed in developing the prevention initiative. Specific issues to be addressed include: Making decisions

about the allocation of resources or the assignment of staff; the designation of new methods for teaching and/or employing young people; specifying evaluation criteria; and determining the legal restraints and requirements on programs and the allocation of funds. Additional issues will emerge in the future and require participation of other individuals with different influence, power, knowledge, and skills. (e.g., revision or adjustment of State agency guidelines, the passage of legislative amendments or new bills, the revision of local attendance requirements dictated by existing practices for funding local school districts.) Both short- and long-term considerations will play a part in the selection of those individuals to participate in the intergency group. The composition of the group will probably not be stable, but will change over time as State level activities shift from policy considerations to practical implementation efforts. There will be those whose participation is necessary, but who are resistant or reluctant to participate. The SPA might employ the following strategies.

4.4.2.1 Build the Activity Around Common Issues and Problems

If SPA staff intend to build a joint education/work project, both education and employing organizations must be involved. At the State level, this may mean the State department of education and CETA. The department of education is concerned about the employability of its graduates. CETA is concerned about the skills which young people must possess in order to work while in school or to be employable upon graduation. That is a common interest which may serve as the point of departure for joint activity. In the absence of a specific reason for working together or a common interest binding the members of the group, the activity is likely to fail.

4.4.2.2 Recognize That Organizations Frequently Have Legitimate Reasons for Taking Action or Refusing to Act

Strategies which take into account organizational maintenance considerations might include:

- Building a coherent argument for prevention which recognizes an organization's concerns about efficiency and effectiveness.
- Defining prevention activities which are perceived as useful to the organization and others in the achievement of an organization's state purpose.
- Identifying prevention activities which will solve a problem currently faced by an organization.

- Finding ways to use forces outside an organization -- e.g., informal citizens' groups, professional associations, elected officials -- to express expectations that the organization engage in prevention.

- Observing external constraints on the organization and finding means of removing them. For example, U.S. Department of Labor guidelines prohibit the participation in some YEDPA programs of young persons whose parent's income is above poverty designations. The department of education may be able to provide money for supervisory staff to permit *all* young persons who wish to do so to participate in an education/work program.

4.4.2.3 Increase Recognition of the Desirability of Joint Work.

Strategies to be employed in developing agency interest in participation in the initiative might include:

- Bringing to persons' attention common objectives, purposes, and problems.

- Finding ways to resolve the differences caused by legislation, regulations, and practices.

- Finding informal occasions for persons to discover those common interests.

- Utilizing peer pressure to bring reluctant or disinterested agencies into the work. The expectation of the interagency group that the one organization fulfill its responsibilities may be enough to stimulate participation.

- Build a coherent argument which uses the vocabulary of those one is trying to persuade.

4.4.3 Group Productivity and Continuity

While the initial interest of the members may be high, the momentum may be lost if conversations and meetings are not organized so that members find participation a useful, satisfying experience. Meetings should be called when problems are to be resolved, specific knowledge is required for an aspect of program design, or consensus is to be announced. For

example, the purpose of an early meeting may be to establish an outline of a program announcement and to designate responsibilities for completion of that outline. Subsequent meetings would be called for purposes of reviewing completed drafts of the outline and approving them. The purpose of a second series of meetings or conversations may be the development of procedures for selecting promising local sites. Development of procedures might proceed simultaneously with the creation of the program content. To ensure continued participation, SPA staff may schedule and define the work so that group members continue to perceive joint activity as useful and see their participation as essential to the preparation for local activity.

Another structural consideration is the formality of the group. The tendency to want to create a formal policymaking group with broad authority may be damaging to the intended initiatives. Departures from tradition and practice may be threatening, and decisions concerning change may occur more readily in private, informal settings where the participants feel free to work out problems, state frankly what they can and cannot do, and engage in strategies to eliminate obstacles to courses of action they may personally approve but perceive as not quite permissible because of constraints upon their organizations. Retention of the informal status of the group then may facilitate those negotiations by giving participants that freedom and decreasing outside pressures.

Creation of a formal group may diffuse the purpose of the group by expanding the functions. Policymaking bodies typically have a mandate to make decisions in broad areas, (e.g., develop a youth policy for the State). Retaining a narrow focus on one or two specific change activities may increase the productivity and durability of the group. To promote a setting in which persons feel free to experiment with change and to make work useful and satisfying, the interagency State group should be viewed as an informal task group whose purpose and life is limited to the length of specific prevention activities.

By taking into account the forces which contribute to sound interagency activity, SPA staff during this stage can guide participants steadily toward implementation, which commences with the announcement of a program and the selection of local grantees or the designation of responsibilities for State-level change in legislation or regulations.

4.5 Selecting, Preparing, and Funding Local Proponents

The next task of the interagency group may be the cultivation of promising local sites. Given the experimental nature of the effort, the SPA and other State agencies may have to depart from past funding practices. The procedure sometimes used, following publication of the State plan, is the development of a program announcement which is then circulated throughout the State. Proposals are received; some negotiation may occur; and grant awards are made. It is expected that those at the State level -- probably through or in conjunction with regional staff -- will have to search

carefully for local proponents and then assist them in the development of a proposal which will reflect both State and local expectations.

4.5.1 A Possible Selection Procedure

The first step, then, is the identification of promising sites. Criteria for promising sites are listed in Section 3.4. In this section we suggest a procedure which might be followed.

4.5.1.1 Identification of Local Partners

To locate local partners, the State agencies might:

- Circulate the announcement through the mail to persons who have previously indicated interest or demonstrated proficiency and to those who are on exisiting lists of State agencies.
- Personally contact persons who show promise of fruitful imaginative activity in prevention, describe the intent and guidelines, and encourage them to apply.
- Advertise through local media.
- Conduct a conference or series of workshops on prevention for appropriate community organizations.

The most effective strategy will probably be personal contact.

4.5.1.2 Abstract of Intent

All interested persons may be invited to submit a brief ten-to-fifteen page abstract of intent. That abstract would include a description of the local setting in terms of major youth problems and needs, and potential organizational support for prevention, an outline of local activities, and a statement of intended outcomes.

4.5.1.3 Preapplication Meeting

Those who appear to meet the criteria would be invited to participate in a preapplication meeting which would provide the opportunity to discuss the ideas of delinquency prevention and the guidelines for the program. Interested parties would be invited to submit a full application.

SPA staff and other members of the State-level team would be available for assistance. The SPA and other State agencies may provide extensive

assistance to those who come closest to meeting the criteria stated in Section 3.4. The number of sites should, of course, be contingent upon the time and energy of the SPA and other members of the State team and the money available for grants. Perhaps more important is the experimental nature of the activity. Despite the resources available for local work, one will probably want to limit the number of sites. The ideas and practices suggested here have been tried infrequently and the outcomes are uncertain. Broad application may be premature.

4.5.1.4 Review of Local Setting

Developing the proposal may require extensive, lengthy negotiations between those at the State and local levels. The first step in those negotiations may be an intensive review of the local setting of potential programs. While the information collected in the review may serve the initial purpose of determining whether or not those in a local jurisdiction are likely partners, the review is also the beginning of community activities. That is, the review provides the information upon which the program design and strategies for implementation will be based.

In that review, the SPA may determine:

- The receptivity of persons within those settings to the ideas of prevention.
- The areas of agreement and disagreement (over the philosophy or practice of prevention, or both).
- The feasibility of the change proposed in terms of resources, energy, and applicability to local and State policies and need.
- The system of decisionmaking and influence in organizations and in the environment of that organization.
- Persons who support (and those who oppose) change.

Continuing assessment over the life of the project should increase the ability of the SPA and others to decide how to frame the work and stage the activities: Who to talk to, what to say, who to include in the work group, etc.

4.5.1.5 Conversations as Sources of Information

Conversations will be the main source of information. Conversations should be scheduled with key decisionmakers, workers, and clients. Spontaneous conversations initiated in bars, coffee shops, hotels, and hallways may be most revealing at first. Topics of conversation may

include youth problems and needs; the most important problems and solutions to those problems; recent programs that have been exciting and the results of those programs; and exchanges and relationships with other agencies or persons.

The language used by those with whom conversations are held offers clues about the beliefs and actions of relevant persons and organizations. The interviewer should be able to describe at the conclusion of the talk what an organization's purpose is, what priorities are as reflected in current activities and programs, what perceptions of problems are and their possible solutions, and what latitude exists to pursue alternative courses of action. The team should be able to extract sufficient information to be able to gauge the similarity between the views and actions of those within local agencies and the views and suggestions of the State team about prevention. The team should be able to suggest strategies for overcoming opposition and confirming existing support.

Those conversations also furnish clues about the informal and formal decisionmaking structures within the agency and within the community. In the course of the talk, persons will be mentioned and given significance in some context. Those names and positions may suggest to the State team that others should be interviewed and/or included in the initial work group. Organizational charts and job descriptions furnish information about the formal decisionmaking structure.

4.5.1.6 Review of Written Document

Additional information about priorities may be gained from reviews of agency plans, budgets, and expenditure reports. Newspaper clipping files may be scanned for both official accounts of events and citizen statements of interest. Election results can furnish clues about community priorities. The team might pay attention to the philosophies and activities of those elected, to the kinds of bond issues and tax increases that are passed, to legislation (ordinances or laws) which is passed, and the amount of subsequent allocations. Both talk and the written word indicate whether or not the organizations and the community consider prevention and youth problems of sufficient importance to devote any time and energy to it, and whether any group is willing to experiment.

4.5.1.7 Conduct of a Local Review

The local review might be conducted by a team of persons including SPA staff, other State agency personnel, and the local contact. SPA staff brings to the review a set of values and perceptions, a history of State/local relationships, and a history of personal relationships with various persons in the community. A team brings to the work several perceptions of the same setting which can serve as a reality check. A team also makes possible a fairly comprehensive review in a brief period of time.

The limitations of such reviews should be recognized. In the absence of unlimited staff time and money to complete an extensive, formal research project, an assessment of organizational philosophies, practices and the environment of the organization must be quick and dirty. The local review would provide only a general indication of community readiness and ability to change and clues to forces which may call for the creation of new strategies as project work evolves. It may be argued, however, that even a quick assessment furnishes better information than the speculation of one or two local contacts. Further, adoption of the practice of routinely surveying the scene, and being sensitive to those events and views of those in the setting and relationships between organizations, should increase the ability of the SPA and others to build support for and maintain the direction of change. An assessment increases the chances of making a good decision by taking into account systematically the various forces for and against change.

The assessment of the local setting should not be considered complete with the conclusion of the team review. Those working in the site should continue to pay attention to actions and events at the State and local level.

4.5.2 Proposal Development

A second task during this stage may be the development of a proposal. The guidelines written by State agency staff in previous steps may serve as the outline, adapted to local conditions and needs. The proposal is a specific discussion of the work with young people, practices to be adopted by staff of the education, work or service organization, the preparation and cultivation of relationships between those in the setting who must be drawn in if the proposed program is to be effective, and anticipated outcomes and means of determining those outcomes.

Much of the proposal content will be the same as any proposal received by the SPA. However, these proposals should pay particular attention to strategies for managing change and to the evaluation component. The phasing of the work may also be a departure from existing practice. The program design would give added time to development. The first year of the activity would be devoted to preparing materials, training staff, and cultivating support of those within the immediate setting and others in key positions in that organization and in the community for new ways of doing things. The second and third years would be given to the test of the new practicies -- working with young people.

Criteria for making up the proposal development team and guiding the work are the same as those suggested for leading the State-level team. In addition, it is important that an evaluator participate from the beginning to ensure that the program objectives are measurable and that the evaluator understands and accepts the premises upon which the design was

based. It is during this stage that the evaluator and project staff form a relationship which supports the testing of hypotheses and modification of prevention activities in light of research findings.

Proposal preparation presents the first extensive opportunity for SPA staff and other State team members to transfer the theoretical concepts and possible applications to the local sponsor. SPA staff may expect that "prevention" will have only a vague meaning to the local partner and that the ability to translate theory into practice will not be fully developed. One then has as an objective throughout the duration of joint activity in that jurisdiction increasing the ability of local and State partners to use prevention theory (see Section 2) as practical guidelines for action. Beginning with the proposal, each step may be taken as an occasion for demonstrating the utility of theoretical guides.

An important outcome of this stage of work with grantees should be a local group of persons who can operate independently, seeking opportunities for change which constitute prevention of the sort discussed in Section 2. Because there are no specific rules guiding change activities and no prescriptions for delinquency prevention, SPA staff must rely upon the local sponsor to be able to apply general principles of prevention and change. The local sponsor must be able to:

- Understand and apply principles of prevention to specific organizational settings and suggest good practices;
- Develop strategies for managing the extra- and intra-organizational forces for and against change;
- Mobilize groups in support of the prevention activity;
- Determine what program designs, training methods, and evaluation designs are appropriate, and identify sources of assistance which can introduce new materials and new technologies and which support organizational adoption of new procedures and practices; and
- Manage negotiations between various persons within the organization and those outside the organization to reach consensus.

Members of the State team should systematically draw attention to the fact that organizational practices and policies may have positive or negative consequences for young people and delinquent behavior is a result of those policies and practices. Two major questions will recur: (1) What

will be the effect on young people of any given project activity? (Possible consequences are described in Section 2 of this paper.) (2) What alterations in the organizational setting and the environment are required to support the intended practice? The grantee should become increasingly able to distinquish between institutional change and service delivery approaches, explain the ideas and stimulate education and work opportunities for young persons, and develop strategies which mobilize the political support and encourage good organizational practices. Each stage of project design and implementation should be a series of learning experiences for grantees.

4.5.3 Grant Award

This stage would end with the award of funds. The award may be given at any time activities at the local level appear to be restricted by the absence of funds or persons to manage the political aspects of change or develop the technology (e.g., materials, training procedures) of prevention. There is no one time which may be specified as more appropriate than any other, rather, the timing of the award should be contingent upon progess toward local implementation and the resource already in the community. Funding may occur as early as one month into the State/local negotiations, or as late as the involvement of young people in a project activity. In some cases it may be that the locale only requires support and direction, and funding is never required to undertake the prevention initiative.

4.6 Guiding Local Change in Education, Work, and Community Service

The form of prevention initiative should have been described in the proposal. During this phase, persons assume responsibility for and carry out the activities necessary for the provision of new education or employment opportunities for young people. Delinquency prevention as described in Section 2 is sufficiently unpredictable that it is difficult to prescribe actions that might be taken by the SPA staff or others to ensure a successful conclusion. One can, however, present a few observations from past activities which were similar.

4.6.1 Work Plans

Work plans are routine management devices for social services programming; however, for the prevention initiative, they assume added importance. They are a means of determining whether or not project direction is maintained and checking progress toward objectives. The work plan enables the local sponsor to maintain priorities, giving equal emphasis to those activities which benefit young people and those necessary to build support for the changes in the organization and in the community. The work plan, then, is a tool which may improve the ability of SPA staff, others at the State level, and the local sponsor to manage an experiment. The work plan may cover in detail only the first year of activities, but should anticipate actions necessary for the institutionalization of the new approach. An

example might be the revision in State attendance requirements if young people are to spend major parts of their day away from the school building in a place of employment. That work plan should list strategies for obtaining that revision and assign responsibilities.

The activities of those at both the State and local level should be included in the work plan. For example, training teachers may involve a technical assistance contractor and personnel from the State department of education, SPA staff, local evaluation staff, and project staff. Work plans ordinarily include only the actions and responsibilities of those funded. Because joint work is a characteristic of this prevention initiative and those participating are partners, the work plans for the delinquency prevention initiative should include the activities of all participants.

4.6.2 Supporting and Sustaining the Initiative

The same principles which governed the formation of groups and the conduct of prior work at the State and local level are applicable to the implementation phase. There are, however, some differences.

4.6.2.1 Focus of the Initiative

The focus shifts from development to working with young people. This means that practitioners assume a larger role. While policymakers and administrators should remain informed, they might not play a large part in day-to-day operations.

4.6.2.2 Organizational Support for the Initiative

The period of transition may be made easier if steps are taken to ensure high morale and adequate support through training to transfer knowledge and skills and through regular staff sessions where problems can be raised and resolved. In addition, a project director might seek ways to generate understanding and support from others within the organization and the community for new ways of doing things.

4.6.2.3 Change in Objectives

This is the stage where there is the greatest chance of slippage -- of unanticipated consequences and diversion from the original objectives. This usually occurs gradually without anyone noticing. Cues which may be taken as indications of diversion from original project objectives are:

- Services to young people. Are the participants a mix of young people or "good" kids or "bad" kids? How does the staff describe the work -- as departures from what they used to do, as slight adjustments or more of the same? For what purposes are technical assistance and training requested?

- The management of local work. How do the local partners describe their week? What is the allocation of time between the generation of political support and other more routine aspects of administering a program?

- The relationship of those directly engaged in the prevention initiative and others within the organization. Is the local staff described by others in the setting as "those people in the room at the end of the hall" or as part of the organization? Are there frequent exchanges between members of the staff and others in the setting or are conversations and activities confined to those participating in the experiment?

- The relationships between the organization, policymakers and others in the community. Are legislative bodies, top-level administrators, and community groups able to speak intelligently about the general objectives and activities? Are there both routine and non-routine occasions for the exchange of information?

- Tension. Does the work appear to be proceeding without arguments, questions, or objections from any sector? Or are there periodic inquiries and disputes which indicate that persons are aware, that they care, and that some persons are being caused discomfort by changing traditions and habits? Harmony may exist, but it is unlikely to prevail over the life of the project if change is occurring.

- Evaluation results. Does the evaluation show any change in existing relationships? Is there any difference in the ways in which persons define problems and solutions? Is there any difference in the ways in which young persons are acting who have been involved in the project or in the behavior of young people throughout the organization? The experimental nature of the work requires care to maintain the direction originally intended. SPA staff will wish to establish a regular schedule for onsite visits and

evaluation feedback. These onsite visits are the occasion for exchanging information about events, assessing progress based upon experience and evaluation results and revising the plan in light of that information.

Drifting from the original objectives or reverting to old habits often is undesirable. However, there are occasions for revision of the plan. Those instances may occur when the objectives appear unattainable through the original strategies, when the results are shown by the evaluation or other feedback mechanisms to be ineffective or harmful to young people, or when events in the community or organization provide an opportunity for more rapid or substantial change. The change, then, is a planned one, resulting from a specific event or observation.

4.6.2.4 Continuous Assessment and Revision

Effective strategies and tactics for facilitating local reform are not well developed. Greater specificity and definition should result from experience in States and localities over the course of the prevention initiative. The outstanding feature of the initiative is the need for continuous assessment and possible revisions.

4.6.3 Concluding the Local Change Process

The outcomes are the result of team work and the members of that team are drawn from State and local organizations. The membership may change as the work requires different knowledge and skills. Relationships between those actively engaged in prevention work should be strengthened by working together on tasks which are perceived as useful by themselves and others, and as those efforts bring rewards. Those around the project should become stronger advocates of that work. At the conclusion of the two to three years of intensive work on the site, prevention activities of this sort should continue to be initiated, implemented and institutionalized by those in the community.

The State Planning Agency staff may conclude that involvement in that local site may end when the local sponsor takes an experimental stance toward work with young people and organizational problems, can apply and refine the theoretical concepts of prevention, and when there is support within the organization and in the community. Specifically, when SPA staff find that the local sponsor speaks the same language, that others within that site do also, and reporting sessions become exchanges of information, the purpose of the team's intervention may have been achieved.

5. SUMMARY

State Option for Supporting Delinquency Prevention is intended to review and suggest opportunities to employ the resources available at the State level, particularly within the State Planning Agency, to manage delinquency prevention initiatives in which the primary strategy is organizational change. It is not intended to provide a definitive approach to guarantee the implementation of sound programs, but rather is designed to stimulate discussions around potential State options and supporting strategies.

Section 2 of this paper reviews Delinquency Prevention: Theories and Strategies to provide the basis for identifying those characteristics of promising delinquency prevention programming directions which may require State-level tactics and strategies which are different from regular State practice.

Section 3 focuses on a review of the SPA authority base and the generic functions which could be employed in support of a prevention initiative. Additionally, several key characterics of the delinquency prevention program forms described in Section 2 are discussed, with an analysis of their implications for the implementation of SPA functions. Finally, the section focuses on three major clusters of SPA functions -- technical assistance, funding, and State policy development -- and proposes guiding principles and options for using these functions effectively to support State-level initiatives in delinquency prevention programming.

A possible sequence of work for performing SPA functions in support of prevention initiatives is proposed in Section 4. A range of potential activities are discussed including: Assessing the potential to undertake a prevention initiative; incorporating a prevention initiative into the State plan; identifying local community sponsors; developing a proposal to guide the local initiative; and, concluding the local change process.

The information contained in this paper is designed to be a *basis* for State agency work. The recommendations are tentative and dynamic; the application of the information will require creativity and experimentation. It assumes that some State Planning Agency personnel have an interest in promoting the proposed delinquency prevention initiatives and in developing a cooperative experimental program. The Delinquency Prevention Technical Assistance Program is committed to fostering a continuing dialogue among the Federal, State, and local partners in this venture so that new ideas and principles relating to this important social problem can be tested and refined.

• U. S. GOVERNMENT PRINTING OFFICE : 1979 281-380/1647